

KALINGA STATE UNIVERSITY

Bulanao, Tabuk City, Kalinga



QMS MANUAL


QUALITY MANAGEMENT SYSTEM

2018 Edition



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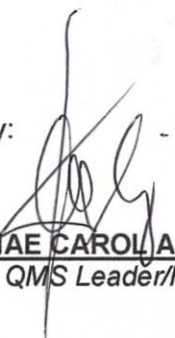
The Kalinga State University Management System Quality Manual is established essentially to define the policies, systems and procedures adopted to implement and continually improve the Quality Management System of the university. Basically, the Manual is aimed to:

- Promote and inculcate the desired culture of quality;
- Demonstrate how a quality management system operates;
- Define and clarify quality functions;
- Meet clients' demands for their satisfaction; and
- Meet international standards.

The Manual includes:

- The scope of the quality management system, with details of and justification for any exclusions;
- The documented procedures established for the quality management system, or reference to them; and
- A description of the interaction between/among the processes of the quality management system.


Endorsed by:


SHEILA MAE CAROL A. BUSLIG, PhD
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Approved by:


EDUARDO T. BAGTANG, CPA, DBM
 University President

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A. KSU History

On January 26, 1986, the Kalinga-Apayao State College was created under P.D. 2017 mandating the merging of the Kalinga Community College, BIBAK National Agricultural School, Doña Eufronia Molina Puzon Memorial National High School and the Tabuk National High School. However, its operation took effect only on October 7, 1992.

The Kalinga-Apayao State College was converted into Kalinga State University through merit on December 15, 2015 by virtue of the CHED Certification acknowledging the conversion of KASC to Kalinga State University which was eventually confirmed by the KSU Board of Regents through its Board Resolution No. 1243, s. 2016 dated January 21, 2016.

B. Mandate

In Section 2 of Republic Act No. 10584, the University is mandated primarily to provide advanced education, higher technological, professional instruction and training in the fields of arts, agriculture, forestry, social and natural sciences, and technology, and other relevant fields of study. It shall also promote and undertake research and extension services and provide progressive leadership in its area of specialization.

(Source: Kalinga State University Code Approved BOR Resolution No. 1390 series of 2017 (Chapter II Section 2))

C. Vision

A Knowledge and Technology Hub in Asia-Pacific Region


D. Mission

Kalinga State University shall primarily provide advanced education, professional instruction & training in the arts, agriculture, forestry, social & natural sciences and technology, and other relevant fields of study. It shall also promote and undertake research and extension services, and provide progressive leadership in its areas of specialization.

E. Core Values

In order to attain its vision-mission, KSU shall adhere always to Good Governance in all its endeavors; treat all its clienteles and employees with Kindness and Compassion; promote Strong Sense of Service orientedness and Commitment; and foster Unity and Love for Nature and Humanity. *(Source: Kalinga State University Code Approved BOR Resolution No. 1390 series of 2017 (Chapter II Section 2))*

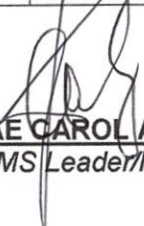
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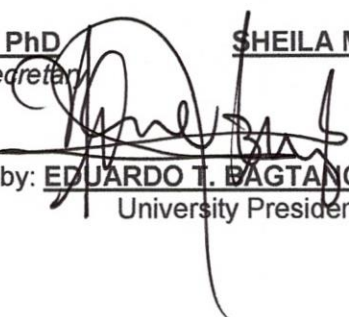
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Prepared by:

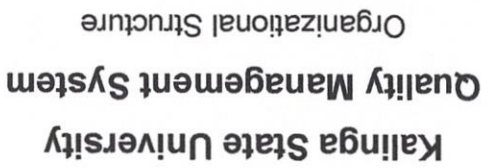
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PERFELIA R. BUEN, PhD
 University and Board Secretary


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 QMS Leader/Head

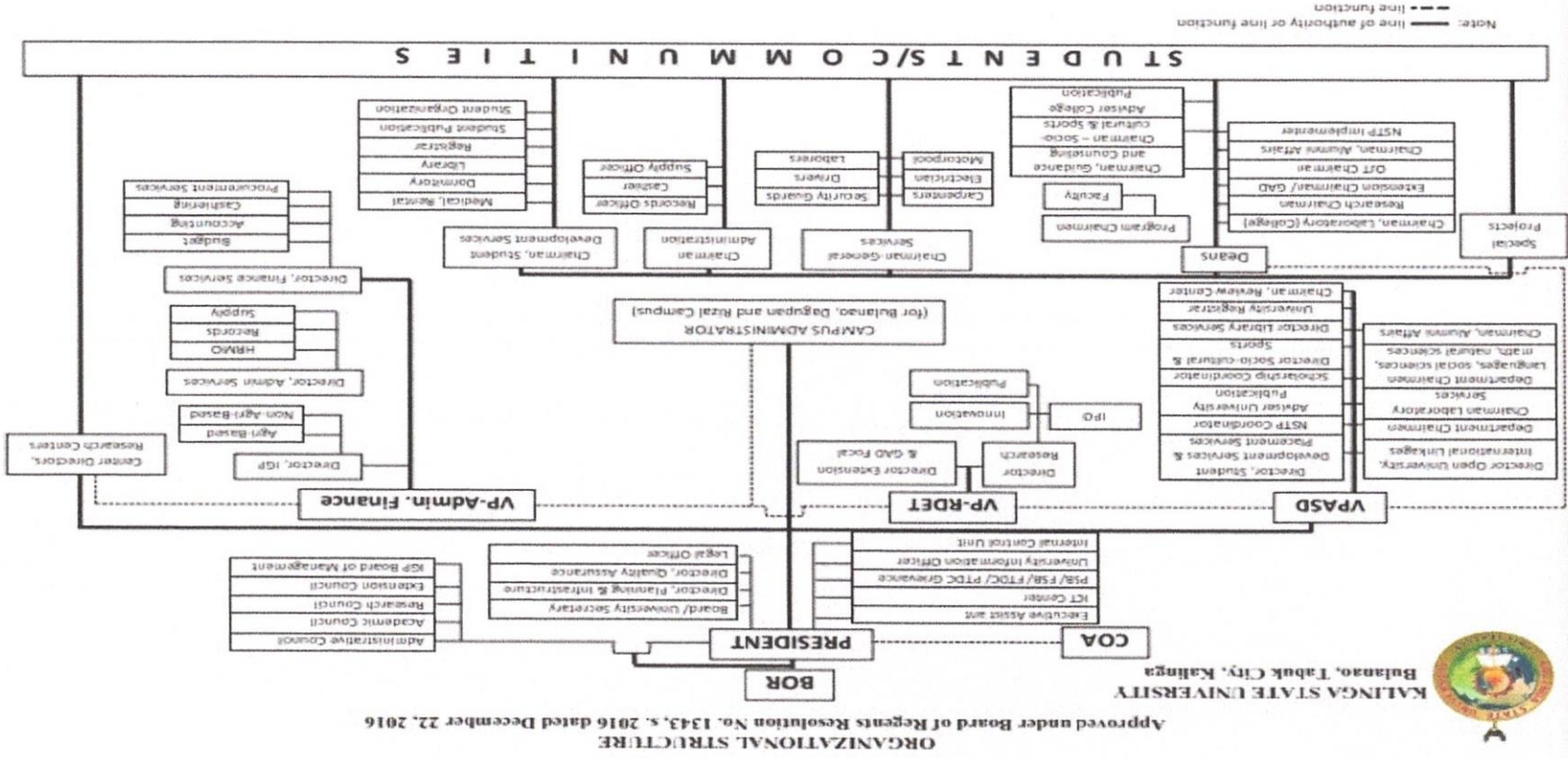

 Approved by: EDUARDO T. BAGTANG, CPA, DBM
 University President

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A. Organizational Chart



Approved (Source: State University Code BOR Resolution No. 1390 series of 2017 (Chapter II Section 2))

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Kalinga State University
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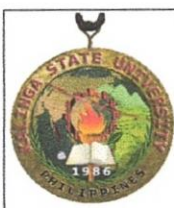
B. Functional Descriptions

The University President. The President is the Chief Executive Officer of the University whose powers, duties, term of Office and manner of appointment are defined in R.A. 10584 as amended by R.A. 8292. The University shall be headed by a President, who shall render full-time service and who shall be appointed by the Board, subject to the guidelines, qualifications and standards set by the Board, upon recommendation of a duly constituted search committee.

Functions and Responsibilities of the University President:

- i. He shall be the Chairman of the Administrative Council, Academic Council and the Ex-Officio of the State University;
- ii. He shall have, upon authority of the Board, general administration and supervision of all business, financial and academic operations of the University;
- iii. He shall have, upon authority of the Board, general administration and supervision of all officers, members of the teaching staff and non-teaching staff of the State University;
- iv. He shall carry out the general policies laid down by the Board of Regents, and shall have the power to act within said policies. He shall undertake, direct and assign the details of an Executive action;
- v. He shall have the power and duty to determine and prepare the agenda of all meetings of the Board of Regents, Administrative Council and Academic Council. Any member of the Board and Councils, however, is entitled to have any pertinent matter included which shall be signed by him;
- vi. He shall preside at commencement and other public exercises of the college, and confer such degrees and honors as granted by the Board of Regents. All diplomas and certificates issued by the University shall be signed by him. He shall exercise the powers and functions delegated to him or as authorized by the Board of Regents;
- vii. He shall have the authority to grant service credits and to change the leave status of any member of the academic staff from teacher's leave to vacation - sick leave or vice-versa in the interest of the service subject to policies approved by the Board of Regents and Civil Service laws and regulations;
- viii. He shall be responsible with all members of the academic and non-academic staff in the full discharge of their functions; and if the exigency of the service demands, he shall, after consultation with the officer concerned in proper case, initiate the necessary proceedings and appropriate actions;
- ix. He shall submit to the Board of Regents, annual report, on work of the preceding year and the needs of the college for the next year on or before the last day of January of each year;
- x. He shall present to the Board of Regents, proposed annual program plan

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- and budget of the State University for approval;
- xi. He shall have the right to modify or disapprove any action or resolution of any official in the University, if in his judgment, the interest of the University so requires. Should such power be exercised, he shall communicate his decision in writing to the body concerned, stating therein the reasons for his action, thereafter, he shall inform the Board of Regents accordingly which body may subsequently take any action deemed appropriate;
 - xii. The University President shall have the authority to receive all processes against the State University;
 - xiii. He shall have the authority to request any secondary or elementary school in the region or any part of the country as a training or laboratory school of the university in consultation with the school administration concerned;
 - xiv. He shall have, with authority of the Board, to request for loans or transfer of personnel, apparatus, equipment or supplies from any bureau or office of the National Government as may be needed by the State University;
 - xv. With proper authority from the Board of Regents, he shall sign and execute in behalf of the State University all contracts, deeds and other instruments necessary for the proper administration and supervision of the State University. However, in regular recurring undertakings and transactions where his action is virtually ministerial, conditions and terms thereof having been fixed in the college's existing regulations, and general laws, he may direct through written instruction, that approval in specified cases be made in his behalf by officers of administration or heads of units, subject to such safeguards as he may impose, without prejudice to his power of revocation;
 - xvi. The President 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, and for such services to be taken from miscellaneous funds at rates in accordance with existing rules and regulations of the State University;
 - xvii. He shall have the authority to grant, deny or extend the fellowship/training grants of any members of the faculty and staff as specified in the contract;
 - xviii. He shall, with authority of the Board, have the authority to accept the resignation, retirement and leaves of absence with or without pay of members of faculty and non-teaching;
 - xix. He shall have, with authority of the Board, power to recommend for appointment of faculty members and non-teaching from one unit of the university to another unit due to the exigency of the service;
 - xx. He shall authorize the transfer of faculty members and non-teaching staff from one unit of the university to another unit due to the exigency of the service;
 - xxi. He shall appoint qualified members of the faculty as fellows of the State University, either full or partial to enable them to pursue graduate studies in

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the country or abroad. As such, he shall fix the financial assistance to any fellow in accordance with existing regulations, he shall issue adequate safeguards for the operations of student organizations and other student activities;

- xxii. He shall have the authority to renew appointment of personnel for not more than one year if the budget permits and the services are necessary, to make ad-interim appointments when the need of the service so requires;
- xxiii. He shall have the right to approve or disapprove the application for retirement of members of the faculty and staff and to provide funds for its purpose;
- xxiv. He shall approve promulgated rules as deemed necessary for the safekeeping and proper disbursement of student funds of all student organizations officially recognized by the State University;
- xxv. He shall generate funds and grant-in-aid in support of research and development projects aside from annual budgetary allocations of the University; and
- xxvi. He shall have the power to recommend to the Board of Regents merit increases and promotions to deserving members of the faculty and staff. He shall have such other powers and duties as elsewhere provided in the KSU Code/Charter, as maybe especially authorized by the Board of Regents and other pertinent laws.


(Source: Kalinga State University Code Approved BOR Resolution No. 1390 series of 2017 (Chapter II Section 2))

The University Secretary

The functions of the University Secretary shall be:

- i. Prepare agenda for all regular and special meetings of the State University, and deliver the same to appropriate offices at least 10 days before its scheduled meeting;
- ii. Transcribe the minutes of each meetings and have the transcribed minutes attested by the chairman/presiding officer;
- iii. Prepare and issue other excerpts of minutes and/or certification on certain policies promulgated;
- iv. Keep custody of all records of policies/actions approved by the Committee/Body;
- v. Act as secretary to the administrative and academic councils and to other bodies that may be formed or created by the university;
- vi. Consolidate the proposed agenda and issue of notices of meetings of form or created councils or bodies, and take down minutes of the proceedings thereof;
- vii. Keep custody of classified records; issue excerpts of or certification of actions upon request of authorized employees or officials; and

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- viii. Perform other functions that may be directed by higher authorities.

The Director for Planning and Development

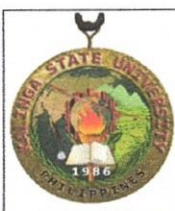
The functions, duties and responsibilities of the Director for Planning and Development are:

- i. Assist the University President in the planning, implementation, monitoring and evaluation of the State University academics plans and campus development;
- ii. Coordinate with the VPAF and VPASD on the formulation and packaging of academic plans, strategic and investment plans and proposals;
- iii. Monitor and evaluate the implementation of development plans, programs and projects of the State University;
- iv. Exercise general supervision over infrastructure unit in identifying, defining and maintaining the boundaries and other technical aspects of the landholdings of the State University;
- v. Implement Executive orders, Letter of Instructions, Proclamations from higher authorities which are pertinent to the landholdings of the State University;
- vi. Facilitate the acquisition of permits, clearances and other pertinent requirements from the Department of Environment and Natural Resources (DENR) with respect to the implementation of projects, cutting and transporting of trees within the State University reservation areas;
- vii. Conduct regular ocular inspection and inventory of needs and developments of satellite campuses, landholdings, experimental sites, production sites, demonstration sites, etc. of the State University;
- viii. Initiate measures on the protecting of watershed resources within the State University landholdings in coordination with appropriate units of the State University;
- ix. Act as an internal area chair for Physical Plant during AACUP accreditation activity; and
- x. Perform other functions as may be designated by higher authorities.

Director of Quality Assurance

- i. The Director will recommend and supervise the designated institutional Chairman and members for the internal accreditors/NBC Evaluators/Workload committees;
- ii. Train faculty members to become internal accreditors;
- iii. Evaluate the readiness of program or course subjects for accreditation activities in coordination with the College Deans and University President;
- iv. Provide logistics in coordination with the University President to the

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- programs subject for accreditation activities;
- v. Submit plans, annual reports and other pertinent records as may be required by higher authorities.
 - vi. Devise plans, programs and policies regarding NBC and ISO/ISA evaluation activities in consonance with national, local and institutional standards;
 - vii. Act as the over-all Chairman during accreditation/NBC/ISO/ISA evaluation; and
 - viii. Perform other functions as may be designated by higher authorities.

Office of the Vice President for Academics and Student Development. (VP-ASD)

The Functions of the Office of the Vice President for Academics and Student Development (VPASD) are:


- i. Assist the President in the administration of academic, Sports and Socio-Cultural matters;
- ii. Exercise general supervision for the planning, implementation, coordination, monitoring and evaluation of the academic and academic-related policies, programs, projects and services of the State University through the offices under his jurisdiction;
- iii. Administer and supervise plans and programs of the offices under his jurisdiction;
- iv. Chair the Faculty Training & Development Committee (FTDC) and Faculty Selection Board (FSB) of the State University; and
- v. Perform other roles, duties and responsibilities as may be directed by higher authorities.

The College Deans

The Following are the Major Functions, Duties and Responsibilities of the College Deans.

Each College shall be headed by a Dean to be designated by the University President upon recommendation of the Search Committee and consultation with the faculty. The Deans must have at least an appropriate Master's degree in line with the degree programs offered with the college as defined by their respective CMOs, at least an Assistant Professor with five (5) years of experience in college teaching and in the management and operation of a department as chairman/director/campus administrator. He shall serve a term of one (1) year without prejudice to re-designation based on very satisfactory performance for another term only.

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The College Deans shall exercise general administrative and supervisory functions over the following organic personnel or offices under his office:

- a. Chairman Laboratory
- b. Program Chairmen/ Laboratory HS Principal;
- c. Chairman for Research;
- d. Chairman for Extension, Training and GAD;
- e. Chairman, Guidance and Counseling;
- f. Socio-cultural and Sports Chairman;
- g. Chairman, Quality Assurance
- h. Chairman for Alumni affairs;
- i. NSTP Chairman:
- j. Adviser College Publication

The Following are the major functions, duties and responsibilities of the college deans:

1. Exercise leadership in planning, implementing, monitoring and evaluating the instruction, research, extension Resource Generation Program Projects and other activities of the college.
2. Prepare annual procurement program, investment plan and college faculty development plan for approval by higher authorities
3. Review and approve course syllabi, class schedules and teaching workloads of Faculty Members.
4. Program and implement the Accreditation work Plan of the college, Curricular Programs Review/Revision.
5. Conduct monitoring and evaluation activities of Program chairmen; Research; Extension, Training and GAD; Socio-cultural and Sports; Alumni affairs; and other staff under his office.
6. Represent the College in appropriate bodies/offices from within and local as officer in authority in the promotion, development and implementation of worthy standards, policies, programs and activities , decisions and actions commensurate to the vision and mission of the Institution.
7. Represents the Colleges in Faculty Training and Development Council, Academic and Administrative Council Meetings and others that require official representations of the College.
8. Perform other Functions as may be directed by the collaborating/ partner agencies and higher authorities.

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The Director for Open University

The Functions of the Director of Open University are:

- i. Develop policies aligned with national and international standards in the offering of curricular subjects.
- ii. Crafts and implement policies on foreign/exchange students.

The Director for Student Development Services and Placement Services


The Functions of the Director of Student Development Services and Placement Services are:

- i. Serve as a link between the University Administration and the Student Body and/or its organization and association;
- ii. Exercise over-all leadership and direction in the planning, implementation and evaluation of Student Development Programs and Services;
- iii. Oversee the execution of institutional policies, rules and regulations with regards to their implementation on students while in campus;
- iv. Coordinate with other function Directors and other appropriate agencies in determining and implementing activities for students development;
- v. Supervise admission, registration, and evaluation of student records;
- vi. Coordinate commencement exercises and baccalaureate services;
- vii. Supervise the updating of student academic records; and
- viii. Perform such other related functions that may be assigned by higher authorities.

Representation Functions:

- i. Represent the College in appropriate offices from within and local as officer in authority in the promotion, development and implementation of worthy standards, policies, programs and activities, decisions and actions commensurate to the vision and mission of the College.
- ii. Chair College's regular and special meetings as the officer in authority in matters such as recent developments, administrative and supervisory matters, problems and decision.
- iii. Act as the Chairman of the College's planning unit, Disciplinary Board and Area chair for administration and VMGO during AACUP accreditation.
- iv. Represents the College in Faculty Training and Development Council, Academic and Administrative Council Meetings and others that require official representations of the College.

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- vi. Coordinate commencement exercises and baccalaureate services;
- vii. Supervise the updating of student academic records; and
- viii. Perform such other related functions that may be assigned by higher authorities.

The Vice President for Research and Development, Extension and Training (VP-RDET)

Functions of the VPRDET:

- i. Provide over-all leadership in planning, implementation, and evaluation of the institution's research and extension programs;
- ii. Assist the College President in the formulation and implementation of the institution's policies in research and development and extension programs;
- iii. Provides supervision to the Directors for Research and Development and Extension and Training in the planning, implementation and evaluation of Research and Extension programs and activities;
- iv. Chair the editorial board of the State University R & E Journal and publication of scholarly research and extension outputs of the faculty and staff members of the State University;
- v. Submit plans, annual reports and other pertinent records as may be required by higher authorities; and

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- vi. Perform other functions as may be directed by higher authorities.

The Director for Research

The Functions, Duties and Responsibilities of the Director for Research are the following:


- i. Provide leadership in the formulation of strategic plans on research and development consistent with the research and development agenda of the State University;
- ii. Exercise general supervision and coordination of all research programs and project activities of the State University;
- iii. Be accountable to the Vice President for Research and Development, Extension and Training in implementing the policies and program of activities in the field of Research;
- iv. Conduct, monitor and evaluate the implementation of approved research projects;
- v. Establish local, national and international linkages for funding and partnership for the implementation of research proposals, projects activities of the State University;
- vi. Act as an internal Area Chair for research during AACUP accreditation; and
- vii. Perform other related functions that may be assigned by higher authorities.

The Director for Extension and GAD Focal person

The Functions, Duties and Responsibilities of the Director for Extension and GAD Focal person are:

- i. Provide leadership in the formulation of strategic plans on extension and training consistent with the extension and training agenda of the State University;
- ii. Exercise general supervision and coordination of all extension and training programs and project activities of the State University;
- iii. Be accountable to the Vice President for Research and Development, Extension and Training in implementing the policies and program of activities in the field of extension and training;
- iv. Conduct, monitor and evaluate the implementation of approved extension and training projects;
- v. Establish local, national and international linkages for funding and partnership for the implementation of extension and training proposals, projects activities of the State University;
- vi. Act as an internal Area Chair for extension and community outreach during AACUP accreditation; and
- vii. Perform other related functions that may be assigned by higher authorities.

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The Vice President for Administration and Finance (VP-AF).

The functions, duties and responsibilities of the office of the VPAF are:


- i. Provide over-all leadership in the general planning, administration and finances of the State University;
- ii. Assist the University President in the over-all formulation of plans, management and finances of the State University;
- iii. Act as Vice Chairman of the Administrative Council;
- iv. Assist the University President in the submission and follow-up of project proposals to potential sources of support;
- v. Assist the University President in seeking donations, grant-in-aids, and other supports for instruction, research, extension and production programs, scholarships, staff/personnel and other physical plant developments;
- vi. Coordinate the formulation and review of the medium term development and strategic action plans of the State University;
- vii. Develop and manage plans for campus-wide development, physical infrastructure and the use of land and space;
- viii. Submit plans, annual reports and other pertinent records as may be required by higher authorities.
- ix. Oversee the up to date implementation of NBC 461, PES and other promotion circular;
- x. Act as the over-all coordinator for the evaluation of papers for the NBC 461, PES and other promotion circular; and
- xi. Perform other functions as may be directed by higher authorities.

Director Income Generating Projects

The **Director for Income Generating Projects** has the following functions and responsibilities:

- i. Directly supervise the heads of the various sections under the Business Affairs Units, Production, Dormitory, Auxiliary Services (canteen, food services, etc);
- ii. Review all proposal and recommendation from the section heads of the Business Affairs Units to determine their feasibility and recommend to higher authorities for appropriate action;
- iii. Control activities of different sections in line with programmed resources;
- iv. Devise a monitoring and feedback mechanism wherein business affairs needs and problems are quickly determined and properly addressed;
- v. Provide the other organizational units with guideline affecting business affairs unit operations;
- vi. Establish institutional linkages and provide networking with the entities for potential resource generation;

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- vii. Effect the production mandate of the State University;
- viii. Coordinate with other offices in monitoring and reporting the operations of the Income-Generating Projects of the State University;
- ix. Coordinate and implement all activities of the various Income-Generating Projects of the State University;
- x. Supervise all Income-Generating Projects of the State University in accordance with government policies, laws, rules and regulations pertinent hereto towards the acceleration of production income with greater efficiency, effectiveness and economy;
- xi. Coordinate with concerned agencies/persons having business operations in the institution to enhance business affairs activities, policies and services; and
- xii. Perform other duties and responsibilities that may be assigned to him by higher office.

The Director for Administration Services

The functions of the Director for Administration Services are:


- i. He shall assist the Office of the President in the daily management and administration of the University;
- ii. Direct the planning, implementation and evaluation of Administrative Management program and policies for their efficient and economical implementation;
- iii. Coordinate with other agencies and offices to bring about inter-agency complementation and to maximize the use of available resources;
- iv. Cause implementation of the regular conduct of administrative procedures;
- v. Effectively supervise the Offices under his division; and
- vi. Perform other related functions that may be assigned to him by higher office.

The Director for Finance Services

The functions of the Director for Administration and Finance are:

- i. He shall assist the Office of the President in the daily management and administration of the University;
- ii. Direct the planning, implementation and evaluation of Financial Management program and policies for their efficient and economical implementation;
- iii. Coordinate with other agencies and offices to bring about inter-agency complementation and to maximize the use of available resources;
- iv. Cause implementation of the regular conduct of administrative procedures;
- v. Effectively supervise the Offices under his division; and
- vi. Perform other related functions that may be assigned to him by higher office.

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Campus Administrators

Each extension campus in barangays Bulanao and Dagupan in the City of Tabuk and Barangay Bagbag in the Municipality of Rizal shall be referred to as University Campus. He/she shall have the following functions and responsibilities:

- i. Spearhead the campus in general planning and supervision in the pursuit of its mandated academic functions in instruction, research, extension and resource generation and also in the AACUP accreditation.
- ii. Supervise the faculty, staff and students in the campus;
- iii. Coordinate to the University administration and act as link with the rank and file and of the students of the campus for the promotion and attainment of academic vision, mission, and goals.

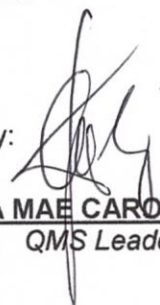
The Heads of Academic Departments

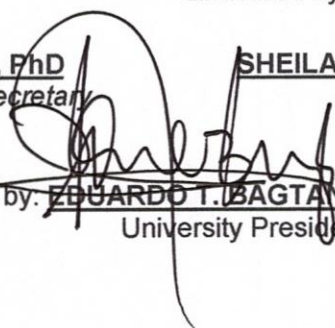
The academic department heads are tasked to plan, organize, implement and monitor the academic programs and projects in instruction, research, extension and production in their respective academic department.

Prepared by:



PERFELIA R. BUEN, PhD
University and Board Secretary

Endorsed by:


SHEILA MAE CAROL A. BUSLIG, PhD
QMS Leader/Head


Approved by: **EDUARDO T. BAGTANG, CPA, DBM**
University President

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A. Scope and Exclusions

The Kalinga State University shall adopt a process-based Quality Management System (QMS) to continually improve the mandated functions of the university to provide excellent instruction, conduct relevant research and foster community engagement that produce highly competent graduates necessary for the development of the country.

The scope of this QMS covers the Core process on Admission, Registration, Instruction and Conferment of degrees to produce quality graduates for the development of the country.

This QMS shall cover the Main campus at Bulanao, Tabuk City, Kalinga.

There is no ISO 9001:2015 requirement that is not applicable in the KSU's QMS.

B. Process Map

The Kalinga State University high level process map is divided into three groups of processes, namely:

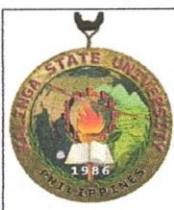
- Management Processes – those that are needed for oversight and governance of KSU's quality management system.
- Core Processes – those that are needed to realize the planned activities in performing instruction, research and extension and allow KSU to deliver the intent of the output of the operations.
- Support Processes– those that are needed to manage the resources necessary to ensure the satisfactory performance of the Core Processes.

However, only the Core process on Admission, Registration, Instruction and Conferment of Degrees to be subjected for audit.

Conceptually, these three groups of processes are working together to transform the clients' requirements into client satisfaction. The Management Processes set directions, policies and plans for the operations to perform and deliver the desired outputs and organizational outcomes. During the strategic planning and target setting, the management identifies internal and external issues through SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis.

The instruction, research and extension deliver outputs to clients, i.e. student's services. Controls of the inputs, processes and outputs are applied by the concerned offices to ensure timely, relevant, and accessible and efficient instruction, research, and extension.

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The support processes provide the necessary administrative and logistical support to the operations for the effective delivery of instruction, research and extension.

Both the operations and support processes communicate feedback and reports to the management for proper monitoring and implementation of appropriate corrective action.

The clients together with the interested parties, even outside the organization, are crucial factors in KSU's QMS. Their requirements and issues are taken into consideration in the planning activities of the organization. Their feedback and satisfaction are also being monitored and measured as inputs to the management's review of the Agency's performance. These data are also used for continual improvement of the system, processes, and products and services.

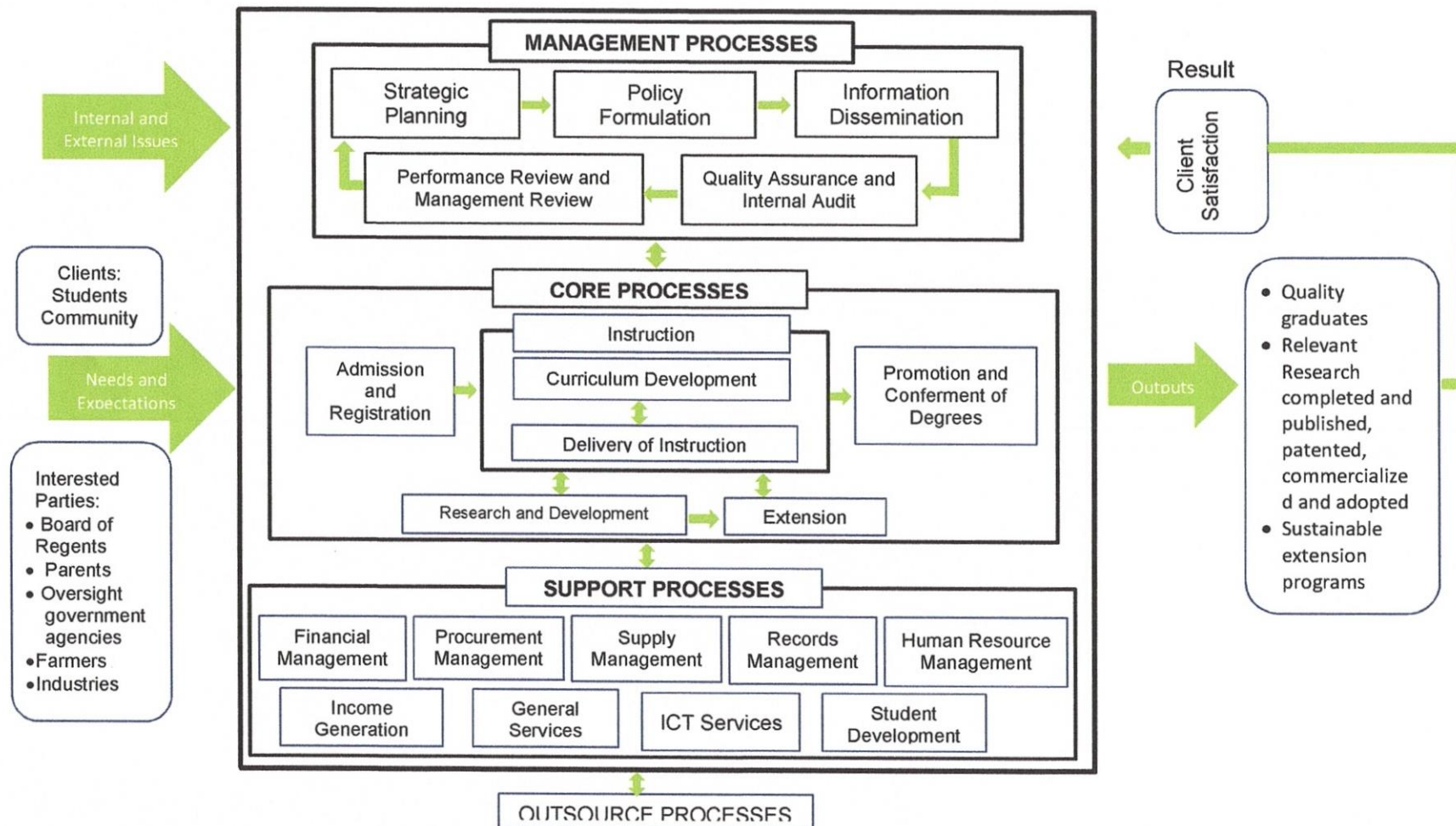
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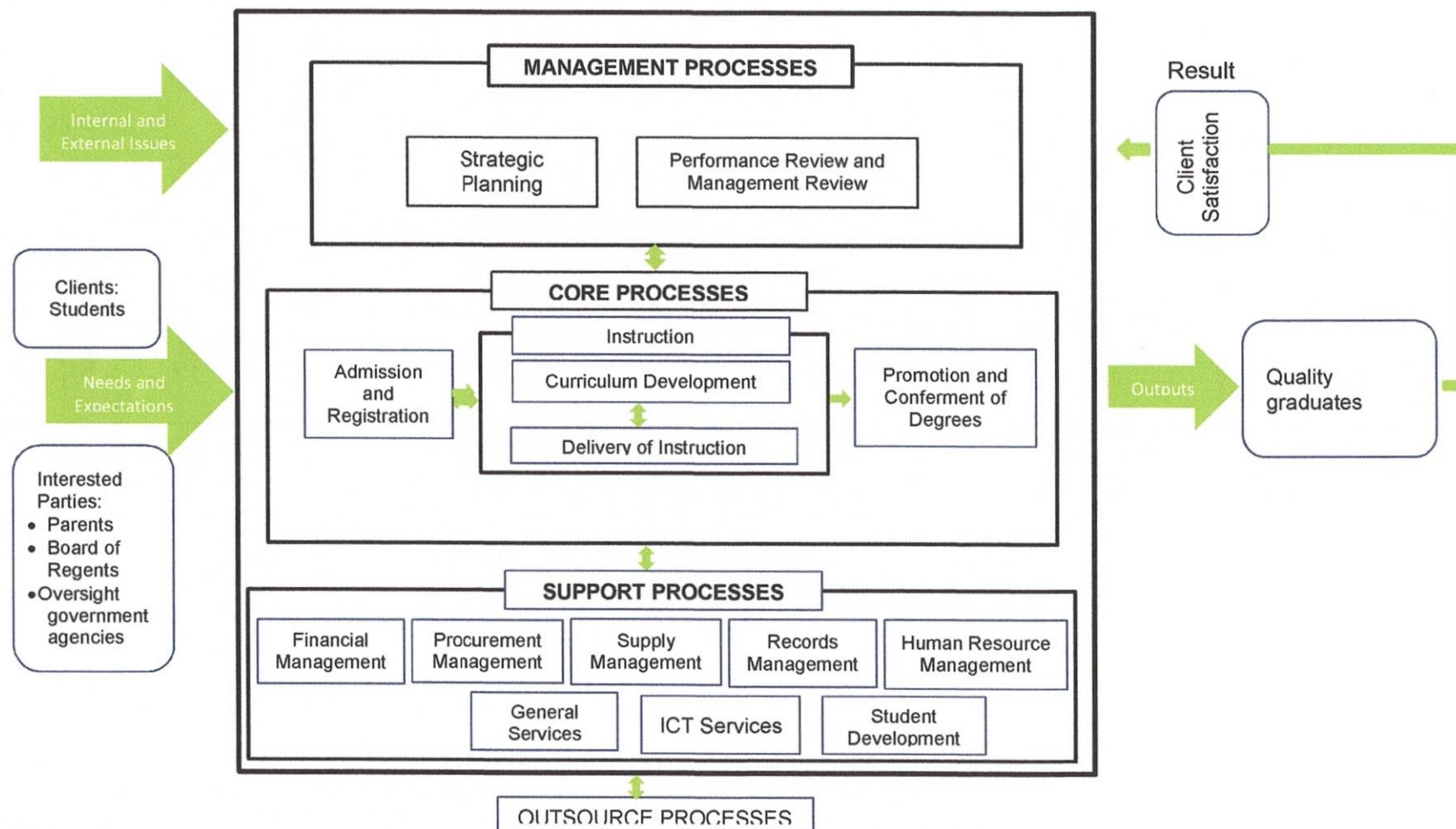
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Kalinga State University Quality Management System

Quality Policy

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The Management maintains the Quality Policy, which ensures the satisfaction of the KSU's clients and other interested parties, and compliance with statutory and regulatory requirements relative to mandated services. This policy is communicated to ensure that it is understood and applied at all levels of the organization. Comprehension of the Quality Policy is verified through, but not limited to, Internal Quality Audits, Management Reviews and during staff meetings.

The Management is responsible for ensuring that the quality policy is appropriate to its mandate and provides framework for establishing and reviewing quality objectives and goals. This is reviewed periodically to ensure continuing suitability to its mandate and thrusts, including the requirements and needs of its clients.

QUALITY POLICY

Kalinga State University is committed to provide quality education and engage in relevant researches, effective extension services, and viable income generating projects that satisfy the needs of its stakeholders and other interested parties towards sustainable development through good governance;

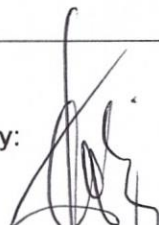
Steadfast to develop the human resource of Kalinga, the Philippines and the Asia Pacific; and,

United to comply with the statutory and regulatory requirements and to continuously implement a monitoring and evaluation system to improve the effectiveness of its Quality Management System.

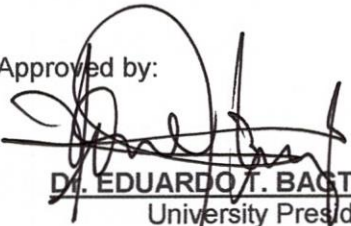
BOR Resolution No.: 1551, s 2018 Dated November 20, 2018

EDUARDO T. BAGTANG, CPA, DBM
University President


Endorsed by:


SHEILA MAE CAROL A. BUSLIG
QMS Leader/Head

Approved by:


DR. EDUARDO T. BAGTANG, CPA
University President

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Introduction

The University's effort to deliver quality service to its clientele, primarily the students; rely heavily on the management processes as a directional guide in the achievement of the vision, mission, goals and objectives of the organization.

The management process includes five sub-areas, namely: Strategic Planning, Policy Formulation, Information Dissemination, Performance and Management Review and Quality Assurance and Internal Quality Audit.

As a whole the Management Process is envisioned as a support or aid of management in its planning, decision making and in the quality delivery of products and services as an educational institution.

1. Strategic Planning


The Strategic Planning of the Kalinga State University is a cycle of 5-year Medium Term Development Plan (MTDP) which strategically directs KSU to be closer to the attainment of its VMGO.

Assessment of the accomplishment for the year and annual planning for the succeeding year are conducted before the end of the preceding year. Strategic Planning is conducted at the beginning of the year and before the year end. Facilitated by the President, Planning Director, VPASD and VPAF, an Individual Five-year Development Plan is formulated by the Delivering Units of the State University which includes each colleges and offices of the Instruction, Research and Extension Office, Production Office, different offices covered by the front line services of the Administration, Student Council and Alumni.

The Delivering Units shall prepare their respective Goals and Objectives according to the State University's VMGO. From this set of goals and objectives, quantitative and qualitative manifestations to the attainment of these goals and objectives are also determined through Key Result Areas (KRA) and Performance Indicators (PI) respectively. Performance Indicators are reflected on the annual outputs /deliverables for the 5-year coverage of the Strategic Plan. Accountable Persons/units are also ensured as well as the remarks on the monitoring and evaluation is also indicated.

The five year development plan is collated and clustered to Instruction, Research, Extension, Production and Administration. This is done for the VPASD

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and VPAF to have a close review and further evaluation of the plan and hand it over to the President for finalization.


As soon as the 5-year MTDP is finalized, a Financial Plan is prepared indicative of resources needed for the targets. This will be translated into budgeting which will undergo series of consultations with government agencies and stakeholders. This is where Programs/Projects/Activities will be screened through prioritization. The Final budget will be reflected on the State University's National Expenditure Program (NEP) that will be released by DBM.

The attainment of the Targets is monitored by the Planning Officer, Budget Officer as well as DBM and COA Quarterly. Work distribution and accountability to meet the targets are ensured through Strategic Performance Management System (SPMS).

1.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
<ul style="list-style-type: none"> Board of Regents BOR 	<ul style="list-style-type: none"> Quarterly report 	<ul style="list-style-type: none"> To submit/ accurate/ complete quarterly report
	<ul style="list-style-type: none"> Proposal 	<ul style="list-style-type: none"> To submit proposal with completed staff work
<ul style="list-style-type: none"> All Delivering units 	<ul style="list-style-type: none"> All inputs relevant to the strategic planning 	<ul style="list-style-type: none"> Prompt, viable and responsive to the KSU developmental goals and objectives
<ul style="list-style-type: none"> VPASD, VPAF and VPRDET 	<ul style="list-style-type: none"> accomplishment reports 	<ul style="list-style-type: none"> Relevant and accurate data on accomplishment reports
<ul style="list-style-type: none"> Planning unit 	<ul style="list-style-type: none"> Documented Strategic Planning Process Collated and packaged Strategic Plan Collated Accomplishment reports Updated inputs on monitoring and evaluation of actual 	<ul style="list-style-type: none"> Accurate documented strategic planning process Completely packaged strategic plan Prompt and accurate submission of accomplishment report Prompt and accurate

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Interested Parties	Needs	Expectations
	implementation of plans	updating of inputs on monitoring and evaluation of actual implementation of plans
<ul style="list-style-type: none"> Faculty, Alumni and Students 	<ul style="list-style-type: none"> Feedback on their immediate concerns on educational matters 	<ul style="list-style-type: none"> Relevant, well-defined and understandable feedback
<ul style="list-style-type: none"> CHED, NEDA and Board of Regents 	<ul style="list-style-type: none"> Supplementary inputs to the Strategic plan 	<ul style="list-style-type: none"> Relevant and viable supplementary inputs

1.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Competent Planners Advance preparation of Strategic Plans. Each Unit is required to prepare an operational plan. 	<ul style="list-style-type: none"> Plans are not regularly reviewed at the middle of the implementation for adjustments and corrective measures. Some Units fail to follow the operational plans. Plans are not cascaded to each staff or faculty member.
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Assistance of NEDA and other government agencies is available during the preparation of the strategic plans There is available funding for the implementation of the plans. There are available government policies to guide the preparation of strategic plans. 	<ul style="list-style-type: none"> New policies introduced by CHED at the height of plan implementation affect the plans. Intervening activities required by other agencies causes the delay or sometimes deviation from the implementation of the plans.

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1.3 Risk Registry

Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
									L	I	Risk rating
a. Process: Strategic Planning Risk Description: Plans are not regularly reviewed at the middle of the implementation for adjustments and corrective measures	Causes: ▪ Frequency of Planning review is conducted only once a year Consequences: Late corrective measures and adjustments to address unmet targets	Conduct of review is done once a year	5	3	15-high	▪ Conduct review of plans semi-annually	Planning unit VPASD, VPAF and VPRDET	▪ Last week of December 2018 ▪ June and December 2019	2	2	4- Low
b. Process: Strategic Planning Risk	Causes: Preparation of Cause: OPCR is not synchronized	Each college/unit s prepare their own	5	3	15- High	Schedule a synchronized preparation of OPCR	Planning unit VPASD, VPAF and VPRDET	Last week of December 2018	2	2	4- Low

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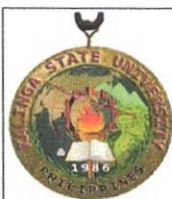


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Process/Risk Description		Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
	Description: OPCR is not based on the Formulated operational Plan	with the formulation of operational plan Consequences: Accomplishment s of colleges/units do not address the operational plan	OPCR				and Strategic plan	Colleges Units	June and December 2019			
c.	Process: Strategic Planning Risk Description: Plans are not cascaded to each staff or	Cause: Colleges to its faculty and head of units to their subordinates Consequences: Lack of	Only deans and heads of units are informed during administrative and academic	5	3	15- High	Information dissemination of the Action plan of deans/unit heads to the faculty/subordinates	Deans Unit heads	January 2019	2	2	4- low

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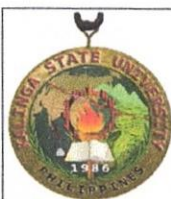


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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
									L	I	Risk rating
	faculty member.	awareness and participation among rank and file									
d. Process: Strategic Planning Risk Description: New policies introduced by CHED at the height of plan implementation affect the plans	Causes: ▪ New issuance of CHED policies Consequences: Un programmed PPAs affecting the budget of KSU	Request for realignment of funds	5	3	15- High	▪ Provide for special budgets to accommodate new issuances of CHED policies	Planning unit Budget Finance office	January 2019	2	2	4- Low
e. Process: Strategic	Causes: ▪ New issuance	Following the	5	3	15- High	Adherence to the newly	Planning unit Finance	November 2018	2	2	4- Low

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Process/Risk Description		Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
	Planning Risk Description: ▪ Intervening activities required by other agencies causes the delay or sometimes deviation from the implementation of the plans.	of CHED, NEDA and DBM policies Consequences: Affects regular implementation of plans and projects	traditional practice of planning				issued policies on advanced planning (pre-procurement and procurement activities during last quarter of the preceding year for projects for the ensuing year)	Procurement				
f.	Process: Strategic	Causes: Prioritization of	Unfunded projects for	5	3	15- High	Some unfunded	Planning unit	October 2018	2	2	4- Low

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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
									L	I	Risk rating
Planning Risk Description: Budget constraints on some proposed projects.	projects endorsed by RDC to CHED and DBM due to budget constraints Consequences: Not all proposed projects are considered for funding	the year are carried over to the succeeding year				priority projects are funded under use of income fund. Proposals on unfunded projects are submitted to Senate and Congress for inclusion in their PDAF					

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1.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Assistance of NEDA and other government agencies is available during the preparation of the strategic plans Benefits: 1. Timely conduct of strategic planning 2. Sufficient budget and resource persons to guide the planning activity	5	5	25-High	Meet target dates on the preparation of strategic plans	<ul style="list-style-type: none"> Planning and Strategy Office All colleges and units/offices University, colleges, units/offices 	Dec 2019
Opportunity: <ul style="list-style-type: none"> There are available government policies to guide the preparation of strategic plans. Benefits: 1. Plans aligned with the National government agenda	5	3	15-High	Strategic planning shall closely follow the available government policies.	<ul style="list-style-type: none"> Planning and Strategy Office All colleges and units/offices University, colleges, units/offices 	January 2019

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Availability of trainings on Planning, monitoring and evaluation system. Benefits: 1. Improved competence of Planners	5	3	15-High	Send more employees to attend trainings on Planning, monitoring and evaluation system.	Planning and Strategy Office	June 2019

1.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To facilitate and intensify the operation of the University Information Office as a separate and distinct unit	Annual Accomplishment Report	2017 Accomplishment Report		Inclusion in the strategic plan	UIO, Office of the President	December 2018	Follow up


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1.6 Reference Matrix


Process	Sub-Process	References	Responsible Person
Formulation of Strategic Plan	<ul style="list-style-type: none"> Information Dissemination Data collection Assessment of the Status of implementation of the previous term SWOT analysis Formulate the strategic plan through filling up the template Finalization of the strategic plan Collation and packaging of the Strategic plan 	<ul style="list-style-type: none"> Existing VMGO Accomplishment reports of the previous term Strategic plan of the previous term Philippine Development plan (PDP) PDP Chapters and results matrices Provincial Development Plan and Framework Plan (PDPFP) CHED Formulated policies and standards 	<ul style="list-style-type: none"> KSU Information officer Director, Planning & Infrastructure VP for Administration & Finance All University officials
Strategic Plan Endorsement	<ul style="list-style-type: none"> Checking on the accuracy of the collected data Checking on the viability of the collated work plan, targets and financial plan Checking on the alignment of prospects and challenges to national and local development plans Endorsement to the Board of Regents 	<ul style="list-style-type: none"> Accomplishment reports of the previous term Philippine Development plan (PDP) PDP Chapters and results matrices Provincial Development Plan and Framework Plan (PDPFP) CHED Formulated policies and standards 	<ul style="list-style-type: none"> Director, Planning & Infrastructure VP for Administration & Finance BOR

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Process	Sub-Process	References	Responsible Person
Strategic Plan Review	<ul style="list-style-type: none"> Checking on the responsiveness of the strategic plan to national and local development plans and CHED mandates as well 	<ul style="list-style-type: none"> Philippine Development plan (PDP) PDP Chapters and results matrices Provincial Development Plan and Framework Plan (PDPFP) CHED Formulated policies and standards 	<ul style="list-style-type: none"> Director, Planning & Infrastructure VP for Administration & Finance KSU Academic & Administrative Council
Strategic Plan Approval	<ul style="list-style-type: none"> Board Action 	<ul style="list-style-type: none"> Finalized Strategic plan 	<ul style="list-style-type: none"> BOR
Submission, Approval and Allocation of Budget	<ul style="list-style-type: none"> Submission of Financial plan of each Delivering units to budget section Collation of submitted financial plan by the Budget Section Local Consultation conference Filling up BP forms and submission to NEDA RDC Consultation w/ NEDA, DBM, CHED, DSWD and other government agencies Submission of Finalized BP forms on line through OSBP system and 	<ul style="list-style-type: none"> Delivering units Financial plan Project Proposals 	<ul style="list-style-type: none"> Head of Delivering units Director for Finance Budget officer Finance officer

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Process	Sub-Process	References	Responsible Person
	actual submission to DBM <ul style="list-style-type: none"> ▪ Submission of Budget proposal based from NEP to senate and congress ▪ Budget hearing in congress ▪ Budget allocation based from released GAA ▪ Preparation of APP and PPMP 		
Strategic Plan Implementation and Monitoring	<ul style="list-style-type: none"> ▪ Information Dissemination ▪ Actual Plan Implementation ▪ Data collection on Physical and Financial Accomplishment ▪ On line submission of reports ▪ Actual submission 	<ul style="list-style-type: none"> ▪ Delivering units accomplishment reports 	<ul style="list-style-type: none"> ▪ KSU Information officer ▪ KSU ICT ▪ Director, Planning & Infrastructure ▪ VP for Administration & Finance ▪ Head of Delivering units ▪ Director for Finance ▪ Budget officer ▪ Finance officer ▪ University officials

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1.1 Infrastructure Unit

Attached in the aspired developmental goals and objectives of the State University is the modernization and upgrading of its Physical plant and facilities. The Infrastructure unit is responsible in facilitating the implementation of all Infrastructure projects of the State University. It also serves as the Technical Focal unit for Infrastructure matters of the State University.

1.1.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
<ul style="list-style-type: none"> Students/ Faculty and staff 	<ul style="list-style-type: none"> Infrastructure for working/learning 	<ul style="list-style-type: none"> Infrastructure conducive for working/learning

1.1.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Full support of the administration Dedicated and highly technical staff 	<ul style="list-style-type: none"> Slow pace on the preparation of Plans, Drawings and Estimates of Infrastructure Projects Slow pace of implementation/Unmet targets/deliverables Insufficient personnel
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Support from the LGU Responsive to customer feedback 	<ul style="list-style-type: none"> Negative Slippage of the contractor Natural calamities

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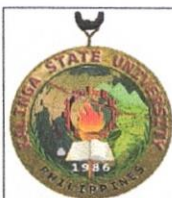
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1.1.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
a	Process: Preparation of Plans, Drawings and Estimates of Infrastructure Projects Risk Description: Slow pace of Preparation of Plans, Drawings and Estimates of Infrastructure Projects	Causes: Lack of highly technical expertise of staff Lack of employed design professionals Consequences: Delay in the Implementation of Infrastructure Projects	Preparation of Terms of reference for Consultancy Services	3	5	15-High	Source out Technical concerns on the preparation of plans, drawings, specifications and estimates of Infrastructure projects to Consultancy services	Planning and Infrastructure unit BAC Budget	June 2019	2	2	4- Low
b	Process: Contract Management	Causes: Complacent supervision on	Impose provisions of the	3	5	15	Intensify imposition of Construction	Chairman for Infrastructure	January 2019	3	2	6- Medium

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
	Risk Description: Weak imposition of Construction methods and contract management	Infrastructure projects Delayed turn-over of BAC of the Contract documents Non-compliance of Contractors to their commitment as per contract Consequences: Issuances of AOM Low Budget utilization rate Poor workmanship	Annex E of the revised IRR of RA 9184				methods and contract management	Chairman for Planning				

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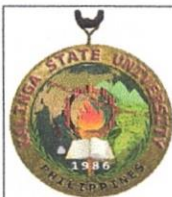


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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
c	Process: Contract management Risk Description: Negative Slippage of the contractor	Causes: ■ Due to negligence of the contractor Consequences: Declines the Budget Utilization rate	Adaptation of DPWH calibrated actions on negative slippages	5	3	15	Increase the frequency on the updating of the accomplishment of the Infrastructure projects	Chairman for Infrastructure and Chairman for Planning	January 2019	2	2	4- Low

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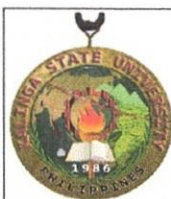
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1.1.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: <ul style="list-style-type: none"> Approval on new positions from ROSS Benefits: <ol style="list-style-type: none"> Tighten the accountability of Infrastructure staff towards supervision of Infrastructure projects Full-time Infrastructure personnel to handle infrastructure projects Access greater opportunities for professional development and upgrading. 	3	3	9- Medium	Filling in of created items from among the Rank in File staff.	▪ HRMO	February 2019

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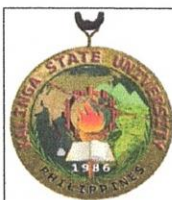
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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: <ul style="list-style-type: none"> Availability of Consultancy firms Benefits: <ol style="list-style-type: none"> it will fast-track the preparation of plans, drawings, specifications and estimates of infrastructure projects Scope and accountability of the design aspects will be handed over to a well-versed qualified consultancy firm 	4	4	16- High	- Prepare complete terms of reference of the projects subjected to consultancy services	Planning and Infrastructure unit	June 2019

1.1.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To Source out Technical concerns on the	No. of Terms of reference	0	5	Prepare complete terms of reference	Infrastructure Office	June 2019	PPMP

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
preparation of plans, drawings, specifications and estimates of Infrastructure projects to Consultancy services	prepared			of the projects subjected to consultancy services			
To Intensify imposition of Construction methods and contract management	No. of introduced and implemented monitoring scheme for the Infrastructure staff and personnel	0	1	Introduce and implement new monitoring scheme for the Infrastructure staff and personnel	Infrastructure Office	January 2019	Advisory
To Increase the frequency on the updating of the accomplishment of the Infrastructure projects	No. of Infrastructure projects updated weekly	0	22	Impose weekly update of accomplishment reports of the on-going Infrastructure projects	Infrastructure Office	January 2019	Weekly infrastructure status report

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1.1.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Contract Management	<ul style="list-style-type: none"> Building Permits and clearances 	<ul style="list-style-type: none"> National Building Code of the Philippines 	<ul style="list-style-type: none"> Chairman for Planning / Contractor
Claims	<ul style="list-style-type: none"> Change order/ Variation order Calibrated Action on Negative slippages Contract Termination Billing 	<ul style="list-style-type: none"> RA 9184 DPWH D.O. RA 9184 RA 9184 	<ul style="list-style-type: none"> Infrastructure Project Engineer / Contractor Chairman for Infrastructure / Project Engineer / Contractor Chairman for Infrastructure / Project Engineer / Contractor / Head of Procuring Entity Contractor / Project Engineer / Chairman for Infrastructure/ Director for Planning and Strategy/ Head of Procuring Entity

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2. Performance and Management Review

The Strategic Performance Management System was established as an instrument to evaluate its human resources. It evaluates employees' performance to ensure the delivery of excellent public service for the satisfaction of the clientele and creating a social impact to the community.


The Management PMT reviews the management system, at a minimum of once a year during performance management meetings, academic council meetings, to ensure its continuing suitability, adequacy and effectiveness. The review includes assessing opportunities for improvement, and the need for changes to the management system, including the Quality Policy and quality objectives.

The Management Review Meeting shall include analysis of the following inputs:

Define the frequency of the following inputs:

- Review and updating of the risk registry. The Risk Registry is a tool for management to track down issues and concerns that affect the implementation of programs and projects. The review of which shall be done by each Unit/ Department/College of the University with respect to the conduct of their programs/Projects and Activities.
- Review and updating of the strategic plan. The Strategic Plans are yearly plans culled out from the Five-Year Development Plan. Ideally the strategic plan is reviewed annually by each Unit/ Department/College of the University. However, it is advisable that a cursory check on the accomplishments made shall be done every mid of the year in order for the institution to catch up on its accomplishments, if deemed necessary.
- Review and updating of objectives, metrics and KPI's. The review of these areas is depending on the accomplishment of the Projects/Programs and Activities (PPAs).
- Review of customer feedback. Collating and analysis of customer feedback should be done immediately after an activity to ascertain the satisfaction level of a client.
- Review of the corrective actions and related trends. This shall be done right after a problem is perceived.
- Review of internal and external audit results. Right after an audit result, review should be conducted.

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- Review of the performance of external providers. Should be done after a required delivery of service and a feedback mechanism should be done.
- Review of the adequacy of resources- This shall be done every six months or after each semester. Ideal time to do its is during semestral breaks.
- Review of the effectiveness of actions taken to address risks and opportunities. The Department/Unit heads/Deans/Directors shall conduct a monthly review and recommend proper course of action.
- Review of opportunities for improvement; The Department/Unit heads/Deans/Directors shall conduct a monthly
- Review of the quality policy for adequacy and to ensure it remains consistent with the needs of customers and the industry;- Management Review is to be done annually.
- Recommendations for improvement of the quality management system. This shall be done annually in consultation with the monitoring agency.
- Follow-up activities from previous management reviews – Immediately after a management review with emphasis on the timetable to accomplish the gaps.
- And other relevant inputs.

Records from management reviews are maintained at the office of the Director for Planning and Strategy.

2.1 List of Relevant Interested Parties


Interested Parties	Needs	Expectations
Employees (Faculty and staff)	<ul style="list-style-type: none"> ▪ SPMS Policies and Explanation (OPCR & IPCR) ▪ Targets on MFO's (Instruction, Research, Extension) as per GAA ▪ SUC leveling policies and targets ▪ Policies on Merit Increase due to meritorious Performance ▪ PRAISE Policies on Award and Incentive System 	<ul style="list-style-type: none"> ▪ Clearly defined policies and discussed during a meeting ▪ MFO targets clearly explained ▪ SUC leveling targets clearly explained ▪ Clearly explained policies on merit increase due to meritorious performance ▪ Clearly explained PRAISE Policy and well disseminated prior to the rating year

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Interested Parties	Needs	Expectations
Management	<ul style="list-style-type: none"> List of tabulated list of faculty and staff and their Performance Rating based on IPCR List of recommended Awardees based on PRAISE Guideline and Supporting documents 	<ul style="list-style-type: none"> Correct and accurate list of faculty and staff with their performance rating based on IPCR honestly rated by their respective PMT's Accurate list of recommendees for Awards with the supporting documents
DBM	<ul style="list-style-type: none"> List of the 5% of the Faculty and staff that are entitled to merit increase written in the proper form Request of fund for the payment of the 5% faculty and staff entitled for merit increase 	<ul style="list-style-type: none"> Accurate list written in the proper form Accurate amount with complete supporting documents
Administrative Council	<ul style="list-style-type: none"> List of Proposed Awardees for the year for endorsement to the BOR for approval 	<ul style="list-style-type: none"> Accurate list with complete supporting documents

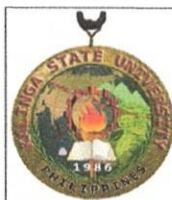
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2.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Performance review committee is in place SPMS Policy approved by the CSC is in place PRAISE Policy/guideline is in place MFO targets are written in the congress-approved GAA Updated IATF Memorandum Circular is available CSC-DBM Joint Circular No.1, s.2012 is available 	<ul style="list-style-type: none"> Late submission of some performance evaluation requirements Provisions of the CSC-approved SPMS policies on rating personnel are not followed Some MFO targets in the Congress-approved GAA are not met Some delivering units do not meet their OPCR targets based on MFO's Some faculty members (Professors, Associate Professors) failed to deliver MFO target in research
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Presence of Performance-based policy Presence of SUC Leveling Policy Presence of the PRAISE Policy on Awards and incentives Presence of CSC-DBM Joint Circular No.1, s.2012 Presence of NBC 461 guideline/program of the government Awards may be given by CSC for adhering to requirements.... 	<ul style="list-style-type: none"> Reduction of Institutional budget due to failure to meet institutional targets Ineligibility to Performance-Based Bonus Reprimand from CSC for non-compliance of requirements

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2.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
a	Process: Performance and Management Review Risk Description: Failure to meet target in Research	Cause: Evident weakness of teachers in submitting quality research proposals Consequence: No PBB bonus and reduced budget of KSU	<ul style="list-style-type: none"> Implementation of CSC-approved KSU SPMS Implementation of NBC 461 guidelines 	4	4	16-High	<ul style="list-style-type: none"> Motivate Faculty members to formulate quality research proposals. Issuances of memo to the professors who do not do research. Implement the policies on Award and Incentive System on Research. Implement a schedule 	Offices of the VPRDET, VPAF, VPASD and OP	January 2019	2	2	4-Low

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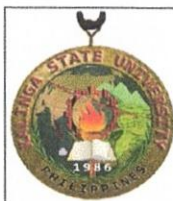


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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
							where half day (afternoon) every Friday shall be devoted in making research proposal and or conduct of Research for all faculty					
b	Process: Performance and Management Review Risk Description: Low Passing Performance in Board Examinations	Cause: Low standard on Admission & Retention policies :Some teachers do not teach well Consequence: KSU does not qualify for	Revision/upgrading of Admission & Retention Policies	3	4	12-high	<ul style="list-style-type: none"> Upgrade/enhance Admission & Retention policies. Strict monitoring of teachers' attendance to classes. Abide/follow/f 	Dean's Offices/Program Chairman/VP ASD/Campus Director Office	January 2019	2	2	4-Low

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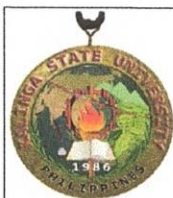


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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
		PBB/cannot be promoted to higher SUC Level - thus minimal increase in budget.					ocus efforts on SUC leveling criteria.					
c	Process: Performance and Management Review Risk Description: Unexplained high number of faculty & staff are given outstanding rating in their IPCR	Cause: PMT's do not follow strictly the guidelines on giving performance rating of their subordinates Consequence: Merit Increase due to Meritorious Performance cannot be implemented	PMT's give rating to their subordinates purely based on their perception, not evidenced-based.	4	3	12-high	<ul style="list-style-type: none"> Conduct seminar/meeting on SPMS guidelines. Closed checking and monitoring of employees' performance. Strict implementation of KSU SPMS Policies and guidelines 	Performance Management Teams (PMT's)	January 2019	2	1	3-Low

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
d	Process: Performance and Management Review Risk Description: Difficulty in meeting target in Disbursement BUR	Cause: Very delayed submission of documents on procurement by concerned offices	Implement ation of RA 9184 Most of the procureme nt of supplies were done through RFQ/canva ss	4	3	12 high	<ul style="list-style-type: none"> Close Coordination with the Infra Unit/Supply Unit and Procurement Unit Strict adherence to RA 9184 and DBM Circulars/guid elines on early procurement 	Office of the VPAF	Oct. 2018	3	3	9 medium

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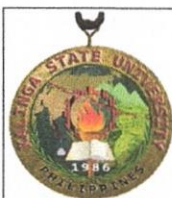
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2.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Availability of Performance-based policy/program of the government Benefits: <ol style="list-style-type: none"> It will enable the employees to receive PBB It will result to an increase in the Budget of KSU 	4	4	16-High	Strictly implement the provisions the CSC-approved SPMS	PMT, VPAF, Admin, Deans, Directors	January 2019
Opportunity: Presence of SUC Levelling Criteria Benefits: Higher SUC Level will result to an increase in the University Budget	4	4	16-High	Consider the criteria on SUC Levelling in the Strategic Plan	VPASD, Deans, Admin, Directors, Campus Administrator	February 2019
Opportunity: Presence of PRAISE Policy on Awards with cash incentives Benefits: Employees with high performance can be awarded and with cash incentives	4	4	16-High	Strictly implement the PRAISE Policy to motivate employees to strive for higher performance	PRAISE Committee, Deans, Directors, Campus Administrator	December 2018
Opportunity: Presence of CSC-DBM Joint Circular No. 1, s.2012	4	4	16-High	Sustain the implementation of the CSC-DBM Joint Circular annually	All Officials of KSU	December 2018

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Benefits: Deserving employees can be promoted up to 2 steps due to meritorious performance						
Opportunity: Presence of NBC 461 guideline Benefits: Deserving faculty can be promoted	4	4	16-High	Strictly implement the provision of NBC 461	All faculty, CCE Committee, QCE Committee	December 2018

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2.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To be able to meet 100 % the MFO targets as per Congress-approved GAA as to the following:							
▪ Percentage passing in the Board Exam	Percentage of Passing equal or higher than the target	50%	100%	<ul style="list-style-type: none"> Conduct of intensive review incorporated in their curriculum Enhance Admission and Retention Policies Monitor closely class attendance of teacher Minimize disruption of classes 	VPASD, All Deans	December 2019	Report form the VPASD & Deans
▪ Target in MFO 2 – Research	Number of Research completed and published in CHED-recognized journal and Research results adopted/patented	70%	100%	<ul style="list-style-type: none"> Strictly implement NBC 461 guideline in conduct of research for professors Schedule every Friday afternoon for research proposal writing and brainstorming 	VPRDET, R&D Directors, Deans, All Faculty/Professors, Program Chairman	December 2019	Report from the Research Dept.
▪ Disbursement Budget Utilization Rate (DBUR)	Attain 100% DBUR annually	70%	100%	<ul style="list-style-type: none"> Strictly implement RA 9184 and DBM Circular on early 	VPAF, Procurement Unit, Infra,	December 2019	Report from the Finance Office

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
				procurement ▪ Conduct seminar on the formulation of PPMP, APP, Procurement Planning & RA 9184	Deans, Unit Head		
To be able to implement the CSC-Approved SPMS properly and become a reliable basis for PRAISE and PMT in the grant of Award and Merit Increase.	All PMT shall be able to implement the SPMS Policy correctly and properly	70%	100%	▪ Conduct annual seminar workshop on the SPMS policies and on how to implement it properly and correctly	VPAF, PMT	June 2019	Correct IPCR & OPCR submitted report


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2.6 Reference Matrix

PROCESS	SUB-PROCESS	REFERENCES	RESPONSIBLE PERSON
Performance and Management Review	▪ SWOT Analysis		
	▪ Conduct of Seminar-Workshop on SPMS Policies and Guidelines and NBC 461 Guidelines	▪ SPMS	▪ All PMT's, Employees
	▪ Enhancement of Admission and Retention Policies	▪ University Code	▪ VPASD, Deans
	▪ Conduct of Review Classes for Board Courses	▪ University Code	▪ VPASD, Deans
	▪ Closed Monitoring of Performance of employees	▪ SPMS	▪ All PMT's
	▪ Implement class scheduling where Friday afternoon shall be devoted to formulation of R&E Proposals by all teachers	▪ Admin. Council Meeting	▪ All Deans, Program Chairman
	▪ Implement the Early-procurement Policy of DBM	▪ RA 9184 ▪ DBM Circular	▪ BAC, Infra Unit, Procurement Unit
	▪ Strictly Implement RA9184 Provisions giving priority to bidding procurement mode	▪ RA 9184	▪ BAC, Infra Unit, Procurement Unit

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1. Admission, Registration, Promotion and Conferment of Degrees

Admission and Registration

The University Registrar's office is an academic support department of the University who is responsible for the administration and supervision of the admission and registration operations, evaluation of scholastic records and graduation. It serves as the custodian and trustee of all records of students and graduates.

The office of the University Registrar shall be headed by a competent permanent plantilla personnel designated by the Head of the Agency. He must be a holder of at least a Master's Degree. He shall serve as the University Registrar whose main function is to act matters pertaining to Admission and Registration. He is directly under the supervision of the Vice President for Academics and Student Development.


This office is also known as the show window of the institution being the keeper of records pertaining to the University Curricular Offerings, Accreditation and Government Recognitions/Permit of Courses, Master List of Students, Data of Enrolment and Graduates, Teaching Loads, Grading Sheets, Individual Personal Files of Students and other data pertaining to curricular and academic matters.

Moreover, the office of the University Registrar operates as the main frontline service provider for academic concerns of students and graduates. It also provides assistance to the needs of its stakeholders such as but not limited to acting requests of credentials of students.

Promotion

A student shall be recommended for graduation only after he/she has satisfactorily completed all the academic requirements prescribed by the Commission on Higher Education and upon recommendation by the Academic Council to the Board of Regents. An application for graduation should be filed to the Office of the University Registrar through the College Dean within four (4) weeks after the regular enrolment period during his last semester in the University. Candidates for graduation shall have satisfactorily completed all the academic requirements for graduation two weeks before graduation.

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Conferment

The University Academic Council fixes the time and place of the commencement and baccalaureate exercises. All graduating students are required to attend the commencement exercises as scheduled unless the Dean concerned recommends the graduation of student in absentia on grounds of sickness or in writing equally valid reasons which must be supported by strong evidence, provided, that the student has met all the requirements including payment of all necessary fees.

1.1. List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Student	<ul style="list-style-type: none"> Official Registration Academic records 	<ul style="list-style-type: none"> Enrolled in a shorter time Prompt and accurate release of requested records
Faculty, KSU Officials and Staff	<ul style="list-style-type: none"> Student Data Control Sheets 	<ul style="list-style-type: none"> Prompt and accurate release of data
Schools	<ul style="list-style-type: none"> Academic Records/credentials 	<ul style="list-style-type: none"> Prompt and accurate release of data
Graduates	<ul style="list-style-type: none"> True copy/Authenticated credentials 	<ul style="list-style-type: none"> Prompt and accurate release of authenticated documents
Inactive students	<ul style="list-style-type: none"> credentials 	<ul style="list-style-type: none"> Prompt and accurate release of credentials
External agencies	<ul style="list-style-type: none"> Reports Data 	<ul style="list-style-type: none"> Prompt and accurate report and release of data
Parents	<ul style="list-style-type: none"> Academic standing of their students 	<ul style="list-style-type: none"> To be assisted and to be given the needed information

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1.2. Strength, Weaknesses, Opportunities and Threats

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Well defined admission and retention policies Prompt submission of reports 	<ul style="list-style-type: none"> Limited office space Late submission of grading sheet Late completion of academic deficiencies
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Improvement of automated enrolment and filing system Increase of Enrollees and graduates within prescribed period Availability of staff development 	<ul style="list-style-type: none"> No available items for additional staff at the registrar's office

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1.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
a.	Process: Registrar: Admission and registration Risk Description: Limited office space	Cause: Increase of volume of files due to increase of enrollment Consequences: Uncomfortable working space	Maximizing the use of limited space	4	3	12-High	▪ Expansion of office space	Infrastructure and Administration	December 2018	2	2	4-Low
b.	Process: Registrar: Enrolment Risk Description: Late submission of grading sheets	Causes: Faculty are hard-up in computing the grades of their students -Late submission of class schedules	Issuance of advisories to the concerned Colleges	4	3	12-High	▪ Design an electronic program of monitoring and recording of student outputs based on the grading system to be used by all faculty	College Deans, Program Chairman, VPASD	January 2019	2	2	4-Low

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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
									L	I	Risk rating
	Consequences: -Late start of enrollment and classes					<ul style="list-style-type: none"> Program chairmen will be rated satisfactory for late preparation and submission of class schedules Class schedules should be prepared and submitted 1 month before the scheduled start of enrolment 	College Dean, Campus Administrator College Deans, Program Chairmen, VPASD	January 2019 December 2018			

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
c.	Process: Graduation and conferment of degrees Risk Description: Late completion of academic deficiencies	Causes: Weak implementation of policies on graduation requirements Consequences: Students do not graduate within the prescribed period	▪ -Issuance of notice of academic deficiencies to colleges	5	3	15 high	▪ Strict implementation of policies on the requirement for candidates for graduation	Colleges, Deans and Program Chair and Registrar	May 2019	2	2	4-Low

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1.3. Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity description: Well defined admission and retention policies Benefit: Policy implementers are properly guided	4	4	16-High	Sustain implementation of admission and retention policies	Registrar's office and colleges	January
Opportunity description: Prompt submission of reports Benefit: Ready reference for management decision making Graduates will not be delayed in their application for board examination	4	4	16-High	<ul style="list-style-type: none"> Sustain prompt submission reports 	Registrar's office	May 2019
Opportunity description: Improvement of automated enrolment and filing system Benefit: faster enrollment, safer filing system of students' records	4	4	16-High	<ul style="list-style-type: none"> Fast track the functionality of the on-line enrolment system 	ICT and Registrar	August 2019

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Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
and faster generation of reports						
Opportunity description: Increase of Enrollees and graduates within prescribed period Benefit: <ul style="list-style-type: none"> ▪ Increase of income collections from tuition fees and budget allocation of MOOE ▪ No additional cost of education for students 	4	4	16-High	Career Guidance Activities to feeder High School Institutions <ul style="list-style-type: none"> ▪ Sustain periodic evaluation of scholastic records of students 	CPTC, Program Chair, College Dean, Registrar	February 2019 December 2019
Opportunity description: Availability of staff development Benefit: Knowledgeable and empowered Personnel	4	4	16-High	<ul style="list-style-type: none"> ▪ Attendance to trainings and seminars for professional development 	Administration, Human Resource Management Officer	First Quarter, 2019

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1.4. Improvement Plan

Objectives	Key performance indicator	Baseline Data	Target	Action plan	Responsible unit/person	Completion dates	Monitoring method
To sustain the implementation of admission and retention policies	Percentage of policies implemented	80%	100%	Issue advisory on the strict implementation of admission and retention policies	▪ VPASD office	January 2019	Receipt advisory issued
To sustain prompt submission of accurate reports	Number of reports submitted	7	10	Prepare calendar of report submission	• Registrar	January 2019	Logbook on submitted reports
To improve the automated enrolment and filing system	Percentage of system improvement on student information	80%	100%	Request ICT unit to continuously update and improve the automated enrolment system	• Registrar's office and ICT unit	May 2019	Request letter issued

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Objectives	Key performance indicator	Baseline Data	Target	Action plan	Responsible unit/person	Completion dates	Monitoring method
To increase enrollees, and graduates who could finish their course within the prescribed period	Number of enrollees, and number of graduates	4000 700	5000 800	Extensive information dissemination of degree programs offered in the university Continuous periodic evaluation of students' scholastic records	Registrar's office	August 2019 May 2019	Statistical data on enrolment and candidates for graduation
To attend trainings and seminars for professional development	Number of trainings and seminars attended	1 per year	2 per year	Preparation of staff development plan	HRM office	May 2019	HRM office strategic plan
To design an electronic program of monitoring and recording of student outputs based on the	Number of program to be designed	0	1	Request the ICT unit to design an electronic program of	ICT unit	January 2019	Request letter receipt

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Objectives	Key performance indicator	Baseline Data	Target	Action plan	Responsible unit/person	Completion dates	Monitoring method
grading system to be used by all faculty				monitoring and recording of student outputs			
To strictly implement the policies on the requirements for candidates for graduation	Percentage of policies implemented	80%	100%	Issue advisory on the strict implementation of graduation policies	VPASD office	January 2019	Receipt of advisory issued
To request for the creation of plantilla items for registrar's staff from ROSSS positions	Number of plantilla items requested	1	2	Follow up for the approval of ROSSS	Office of the President	March 2019	Communication


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1.6. Reference Matrix

Process	Sub-Process	References	Responsible Person/Office
Admission and Registration	▪ Qualifying Test	▪ Student Handbook(Bo ard Res. No. 1418, s. 2017)	▪ Guidance Counselor
	▪ Evaluation of school credentials	▪ Student Handbook	▪ Program Chairman
	▪ Issuance of Enrolment Form	▪ Student Handbook	▪ Program Chairman
	▪ Approval of subjects to be enrolled	▪ Student Handbook	▪ Dean
	▪ Encoding of subjects and issuance of assessment form	▪ Student Handbook	▪ Dean's Clerk
	▪ Issuance of school ID	▪ Student Handbook	▪ Business Affairs Officer
Promotion and Conferment of Degrees	▪ Application for Graduation	Student Handbook, Application Form	▪ Student
	▪ Evaluation of non- academic and academic records	College Checklist	Program Chairman, ▪ University Registrar

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2. Instruction

As mandated in the Vision and Mission of Kalinga State University, the institution will provide higher and advanced instruction in arts, agriculture, forestry, social and natural sciences and technology and other fields of study through a guaranteed competent faculty, developing an updated curriculum, efficient delivery of instruction, and high standard learning evaluation. Thus, satisfying our clients and other relevant interested parties in the area of instruction.

2.1. Curriculum Development

The University shall offer curricular programs that are in the consonance with the regional and national development thrusts of the state, CHED minimum requirements and duly approved by the KSU Board of Regents

A Curricular Review and Evaluation Committee shall be set up at the college's levels to periodically assess the responsiveness and relevance of curricular offerings, to propose necessary revisions, and to develop and propose new relevant curricular programs for endorsement by the Academic Council to the Board for approval.


All curricular programs of the Colleges shall be subjected to periodic curriculum review and evaluation by the College Curriculum Review Committee to ensure currency, responsiveness and relevance to the needs of the community and the nation as a whole.

Curricular revisions shall be undertaken where there is a new CHED Memorandum for Policies, Standards and Guidelines for the program offered in the college. Curriculum review and enhancement shall be conducted every four (4) years thereafter.

A public presentation of the proposed revised curriculum shall be conducted to collect inputs and suggestions from other stakeholders.

The revised curriculum shall be finalize after the public presentation and submitted to the University Curriculum Review Committee for endorsement and confirmation of the BOR and recognition by CHED, thereafter.

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2.1.1. List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students	<ul style="list-style-type: none"> Knowledge, skills and attitudes 	<ul style="list-style-type: none"> Skilled and specialized Faculty Complete school facilities Values formation activities
CHED/DepEd	<ul style="list-style-type: none"> Curriculum 	<ul style="list-style-type: none"> Prescribed curriculum
Faculty	<ul style="list-style-type: none"> Professional Development Instructional devices 	<ul style="list-style-type: none"> Adequate financial support Relevant Trainings Functional technology devices
Partner Agencies	<ul style="list-style-type: none"> MOA/MOU Reports Documentation 	<ul style="list-style-type: none"> Accomplishment Reports

2.1.1 Strengths, Weaknesses, Opportunities and Threats

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The only University in Kalinga Province All programs are approved by the BOR 9 programs are accredited to level 3 Programs are compliant to Policy Standard Guidelines 	<ul style="list-style-type: none"> Most Faculty are not Vertically articulated Lessened no. of units for English Subjects in the General Education Curriculum
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Availability of faculty scholarship program Level 3 Programs are Qualified to apply for recognition as COE and COD 	<ul style="list-style-type: none"> Dearth of qualified faculty applicants

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2.1.3 Risk Registry

Process/Risk Description		Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
a.	Risk Description: Post-graduate degrees and trainings of Faculty members are not vertically articulated	Cause: Most Faculty members finished allied post graduate degrees Consequence: Non-Compliance to CMO on Program Administration of Courses	Hiring of Specialized & Vertically aligned Faculty	5	3	15 High	<ul style="list-style-type: none"> Formulation of University Faculty Development Plan Retooling of Faculty 	FTDC VPASD HRMO CTCPE	August 2020	2	2	4 Low
b.	Risk Description: Lessened no. of units for English Subjects in the General Education Curriculum	Cause Strict compliance to CMO on Gen. Ed Curriculum Consequence: Low English Proficiency of Students	None	5	3	15 High	Revision of Curriculum to include more English Subjects	CRC UCRC	August 2019	2	2	4 Low
c.	Risk Description:	Cause:	Faculty with	4	2	8 Medium	Retooling of	FTDC	January	2	2	4 Low

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	Dearth of qualified faculty for some disciplines	No qualified applicants Consequence: Non-compliance to Faculty Program Requirements of some degree programs	allied specialization are aligned to teach in the programs				Faculty Members	CTPD	2019 Onwards			
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2.1.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Promote KSU as the only University in Kalinga Province Benefit: Educational Services for Kalinga	5	5	25	Intensive Information Dissemination of Available Educational Services	CTCP ODETEIL	January 2019 Onwards
Opportunity: Increase the number of programs accredited to level 3 Benefit: Provide quality education	5	5	25	Sustain accreditation of programs	Quality Assurance Office	January 2019 Onwards
3. Apply Level 3 Programs for	5	5	25	Orientation on Requirements for	Quality	January 2019

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Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
recognition as COE and COD Benefit: Improved Profile of the University				recognition as COE and COD for qualified programs	Assurance Office	Onwards
Opportunity: Sustain compliance of Programs to Policy Standard Guidelines Benefit: Quality Program Offerings	5	5	25	Regular Curriculum Review	Quality Assurance Office	January 2019 Onwards
Opportunity: Availability of faculty scholarship program Benefit: Lessened Financial Burden for Faculty Development	5	5	25	Dissemination of Available Scholarship grants	CTPD	January 2019 Onwards
Opportunity: Maintain Free Tuition fee for undergraduate programs Benefit: Lessened Financial Burden for educational services	5	5	25	Monitoring of student performance to sustain their qualification to free tuition fee requirements	Registrar's Office	January 2019 Onwards

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2.1.5. Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To increase the number of faculty with vertically articulated degrees and trainings	No. of faculty with vertically articulated degrees and trainings	100	150	Profiling of Faculty	Faculty Training & Development Committee Center for Training & Professional Development	August 2020	Regular updating of University Faculty Profile
To increase the number of units for English Subjects in the General Education Curriculum	No. of units for English Subjects in the General Education Curriculum	3	15	Curriculum Review and Revision	University Instructional Materials Development Committee	August 2019	Course Checklist
To recruit qualified Faculty	No. of qualified faculty for specialized subjects/ disciplines	0	3	Publication of vacancies in local and national media	HRMO	August 2019	Faculty Profile


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1.1.6. Reference Matrix

Process	Sub-Process	References	Responsible Person/Office
Curriculum Development	▪ Revision of the Curriculum	University Code ▪ CMOs	▪ College Curriculum Committee
	▪ Public Presentation	▪ University Code	▪ College Curriculum Committee
	▪ Submission to the University Curriculum Review Committee	▪ University Code	▪ Dean
	▪ Review by CHED	▪ University Code	▪ VPASD
	▪ Endorsement to the BOR	▪ University Code	▪ Academic Council

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2.2. Delivery of Instruction


To ensure quality delivery of instruction, the Kalinga State University shall provide instructional facilities and employs qualified and competent faculty specialists in their respective disciplines, who shall identify and utilize innovative instructional pedagogies with corresponding evaluation and management system.

To further guarantee this, the university conducts periodic institutional monitoring and evaluation of faculty members. Moreover, the faculty members are motivated to undertake continuing professional enhancement programs.

2.2.1. List of Relevant Interested Parties

INTERESTED PARTIES	NEEDS	EXPECTATIONS
Students	<ul style="list-style-type: none"> Knowledge, skills and attitudes 	<ul style="list-style-type: none"> Skilled and specialized Faculty Complete school facilities Values formation activities
CHED/DepEd	<ul style="list-style-type: none"> Curriculum 	<ul style="list-style-type: none"> Prescribed curriculum
Faculty	<ul style="list-style-type: none"> Professional Development 	<ul style="list-style-type: none"> adequate financial support Relevant Trainings
	<ul style="list-style-type: none"> Instructional devices 	<ul style="list-style-type: none"> Functional technology devices
Partner Agencies	<ul style="list-style-type: none"> MOA/MOU Reports Documentation 	<ul style="list-style-type: none"> Accomplishment Reports


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2.2.2. Strengths, Weaknesses, Opportunities and Threats

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> All programs are approved by the BOR Facilities for Instruction are compliant to program standards Strong support for faculty training and development 	<ul style="list-style-type: none"> Limited internet connectivity Limited Instructional Materials prepared by Faculty Low Board performance
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Availability of local and international faculty scholarship programs 	<ul style="list-style-type: none"> Few faculty members applied for International scholarship grants

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2.2.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
a.	Risk Description: Post-graduate degrees and trainings of Faculty members are not vertically articulated	Cause: Most Faculty members finished allied post graduate degrees Consequence: Non-Compliance to CMO on Program Administration of Courses	▪ Hiring of Specialized & Vertically aligned Faculty	5	3	15 High	Formulation of University Faculty Development Plan Retooling of Faculty	FTDC VPASD HRMO CTCPE	August 2020	2	2	4
b.	Risk Description: Lessened no. of units for English Subjects in the General Education Curriculum	Cause Strict compliance to CMO on Gen. Ed Curriculum Consequence: Low English Proficiency of Students	None	5	3	15 High	▪ Revision of Curriculum to include more English Subjects	CRC UCRC	August 2019	2	2	4- Low

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
										L	I	Risk rating
c.	Risk Description: Dearth of qualified faculty for some disciplines	Cause: No qualified applicants Consequence: Non-compliance to Faculty Program Requirements of some degree programs	Faculty with allied specialization are aligned to teach in the programs	4	2	8 medium	Retooling of Faculty Members	FTDC CTPD	Jan. 2019 Onwards	2	2	4

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2.2.4. Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Seek BOR approval of proposed programs Benefit: Quality program offerings	5	5	25	Curriculum Review of proposed programs	CCRC UCRC	January 2019
Opportunity: Proper Maintenance of Facilities for Instruction Benefit: Safe and secure learning environment	5	5	25	Formulate schedule of Maintenance and repair activities	College Deans	January 2019 Onwards
Opportunity: Strong support for faculty training and development Benefit: Faculty members are updated on current trends and global issues in their respective fields	5	5	25	Sustain support for faculty training and development	FTDC CTCP	January 2019 Onwards
Opportunity: Availability of local	5	5	25	Positive response to calls for	FTDC	Year round

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Opportunity Statement (include benefit once opportunity is encountered)	Likelihood	Impact	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
and international faculty scholarship programs, Call for trainings, seminars and conferences Benefit: Faculty members are updated on current trends and global issues in their respective fields				trainings, seminars and conferences	CTCP	

2.2.5. Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
Strengthen internet connectivity	Full Connectivity	10 mbps @limited data	100 mbps @unlimited data	Purchase of Connectivity services to meet the demands of the University	ICT Unit	2019	Conduct speed test
Increase the number of Instructional Materials	No. of Instructional	2	5	Capability-building activities for the	Center for Faculty	August 2019	Record of Approved IMs

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
prepared by Faculty	Materials prepared by Faculty			Development of Instructional Materials	Training & Professional Development		IPCR
Increase the performance rating in the government-administered examinations by equal or 50% above the national passing rate	Percentage of Passing rate	Current Passing rate	Equal to or 50% above the national passing rate	Activate the University review Center Strict implementation of admission and retention policies Strengthen course audit	University Review center	2019	<ul style="list-style-type: none"> ▪ Board exam result ▪ Annual Reports ▪ PRC Course Specification
Increase the no. of faculty with International scholarship	No. of faculty with International scholarship	2	3	Intensive Dissemination of Available International Scholarships	Office of International Linkages	2019	Record of Faculty with Approved International Scholarship


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2.2.6. Reference Matrix

Process	Sub-Process	References	Responsible Person/Office
Delivery of instruction	<ul style="list-style-type: none"> Workload Preparation and Approval 	<ul style="list-style-type: none"> University Code Faculty Manual 	<ul style="list-style-type: none"> Program Chair Dean
	<ul style="list-style-type: none"> Syllabi Making 	<ul style="list-style-type: none"> Student Handbook 	<ul style="list-style-type: none"> Faculty
	Supervision & Monitoring <ul style="list-style-type: none"> Evaluation (Faculty) Examination (Students) 	<ul style="list-style-type: none"> Faculty Manual Student Handbook 	<ul style="list-style-type: none"> Program Chair Faculty


Endorsed by:


JOY GRACE F. DOCTOR, PhD
 VP for Academics and Student Development

Approved by:


EDUARDO T. BAGTANG, CPA, DBM
 University President

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SUPPORT PROCESS

KSU Support Services comprise of the different offices such as Finance, Procurement, Supply Services, Records, Human Resource Management, General Services, ICT services, Student Development Services, Income Generating and Services. They are committed to maintain a high-level quality and strong client service in order to attain the university's core values.

1. Financial Management


The financial management services shall be responsible in the supervision of the preparation of annual, supplemental, and special budget of the university and in the review and consolidation of budget into one budgetary plan for the university.

The Financial Management Services compose of the following; Finance sections, Budget section, accounting section, cashiering section and Procurement services.
(Source: Admin. Manual BOR resolution no. 670 series of 2008)

1.1 List of Relevant Interested Parties


INTERESTED PARTIES	NEEDS	EXPECTATIONS
Department of Budget and Management	<ul style="list-style-type: none"> Budget and Financial Accountability Reports (BFARs) Budget Proposal (BP Forms) Requests for funding requirements 	<ul style="list-style-type: none"> Timely submission of accurate reports Timely submission of accurate proposed budget with complete supporting documents Early requests for funding requirements with complete supporting documents
Commission on Audit	<ul style="list-style-type: none"> Submission of reports required as per Government Accounting Manual Schedule of cash advances Reports of allowances of University Officials 	On time and accurate reports required as per Government Accounting Manual
BIR (Bureau of Internal Revenue)	Remittances of taxes withheld	Timely and accurate submission
GSIS (Government Insurance)	Remittances of premiums	Timely and accurate

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INTERESTED PARTIES	NEEDS	EXPECTATIONS
System)	and loans	
PAGIBIG	Remittances of premiums and loans	Timely and accurate
SSS (Social Security System)	Remittances of premiums and loans	Timely and accurate
Philhealth	Remittances of premiums	Timely and accurate
Insurance Companies	Remittances of premiums	Timely and accurate
BIBAK MPC	Remittances of savings and loans	Timely and accurate
Bureau of Treasury	Submission of advice cheques issued and cancelled	Timely and accurate
Government Depository Banks	<ul style="list-style-type: none"> ▪ Remittance of payments of loans ▪ Submission of advice cheques issued and cancelled ▪ Submission of LDDAP/ADA/Payroll 	Timely and accurate
KSUEA	Collection and payment of appropriate dues	Timely and accurate
RDC-NEDA	Budget proposal	Timely submission of accurate proposed budget with complete supporting documents
CHED	<ul style="list-style-type: none"> ▪ Budget proposal ▪ Financial reports ▪ Billing of students enrolled 	Timely and accurate
Faculty, Staff and University Officials	Budget Documents	<ul style="list-style-type: none"> ▪ On-time released of documents ▪ On-time payment of salaries and wages ▪ On-time payment of travel allowances, honoraria and RATA
Students	Payment of wages and	On-time payment of

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INTERESTED PARTIES	NEEDS	EXPECTATIONS
	scholarship benefits	wages and scholarship benefits
Suppliers/Contractors	Payment of services rendered and supplies and materials delivered	Timely and accurate
Other NGAs, NGOs/POs	Liquidation Reports and other reports as required	Timely and accurate

1.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The office is manned by qualified and competent staff Implementation of Electronic-National Government Accounting System (e-NGAS) Implementation of Student Information and Accounting System (SIAS) Presence of upgraded office structure Availability of online services Timely preparation of payment and obligations 	<ul style="list-style-type: none"> Inability of the office to comply with the audit observations and recommendations Inability to respond to the voluminous requirements resulting to the delay on the submission of report.
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Upgrading of office equipment and facilities Availability of trainings on financial management Creation of new positions for as per ROSSS 	<ul style="list-style-type: none"> Poor Internet connectivity from Internet service providers Non-issuance of a favorable accomplishment rating by oversight agencies like COA and DBM

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1.3 Risk Registry

Process/Risk Description		Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a.	Process: Financial Management Services Risk Description: Inability of the office to comply with the audit observations and recommendations	Causes: Inadequate compliance of requirements from concerned personnel Consequences: Disqualification of the agency to receive benefits	Issuance of memorandum for compliance	5	4	20-High	<ul style="list-style-type: none"> Strict implementation of COA circular on non-compliance of audit requirements (e.g.: withholding of salaries) 	Office of the President Finance	June 2019	2	2	4 - Low
b.	Process: Financial Management Services Risk Description: Inability to respond to the voluminous requirements of COA and DBM	Causes: <ul style="list-style-type: none"> Under manned Consequences: Delay on the submission of reports.	<ul style="list-style-type: none"> Overtime 	4	3	12- High	<ul style="list-style-type: none"> Hiring of contractual Deployment of OJT from BSBA students 	Finance	Jan 2019	3	1	3- Low

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1.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target
Opportunity: Upgrading of office equipment and facilities Benefit: Improved working environment resulting to better work output	4	4	16 High	Comply upgrading requirements on target date	Procurement/Finance	FY 2019
Opportunity: Availability of Trainings on Financial Management Benefit: Kept updated on New Policies and Guidelines on Financial Management	3	5	15 High	<ul style="list-style-type: none"> Attend Trainings on Financial Management 	<ul style="list-style-type: none"> HR/ Finance 	<ul style="list-style-type: none"> Quarterly or 2019
Opportunity: Creation of new positions as per ROSSS Benefit: Increase human resource resulting to fast and efficient submission of reports	5	4	20 High	<ul style="list-style-type: none"> Meet target in due time 	<ul style="list-style-type: none"> HR/ Finance 	<ul style="list-style-type: none"> March 2019

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1.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To strictly comply with the requirements on audit observations and recommendations of COA	Percentage of COA requirement complied	70% of the COA's prior years AOM	90% of the COA's prior years AOM	Strict implementation of audit recommendations	Finance, Office of the President	June 2019	Submission of compliance report
To improve timely submission of reports	Percentage of Report submitted on-time	80% of Report submitted on-time	100% of Report submitted on-time	Hire contractual and deploy OJT students to address the delay on the submission of reports	Finance	February 2019	Compliance report
To purchase faster internet connectivity	Faster internet connectivity	10mbps at unlimited data	100mbps at unlimited data	To follow up the internet service providers	Administration , ICT	June 2019	Conduct speed test


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1.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Financial Management Services	<ul style="list-style-type: none"> Preparation of Monthly Bank Reconciliation Preparation of Financial Statement Remittances to other NGAs Preparation of Annual Budget Preparation on Report of Collection and Deposit Preparation of FAR1, BAR1, FAR2, FAR3, FAR4, FAR5 Report Preparation of Status of Quarterly Cash Advances Report 	<ul style="list-style-type: none"> Government Accounting Manual (GAM) COA Circulars DBM Circulars PD 1445 PPSAS RA 9184 CSC Circulars CMOs Finance Operational Manual KSU Manual Board Resolutions 	<ul style="list-style-type: none"> Accountant Budget Officer Cashier Director for Finance Management Services Cash Collecting Officers

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2. Procurement Unit

Republic Act 9184 otherwise known as the Government Procurement Reform Act requires that all procurements of the national government, its departments, bureaus, offices and agencies, including state universities and colleges, government-owned and/or -controlled corporations, government financial institutions and local government units, shall, in all cases, be governed by the principles of public monitoring, accountability, competitiveness, transparency and streamlined process.

The Procurement Services Section of KSU is responsible in procuring the needed supplies, materials, equipment and services of the University in accordance with Republic Act 9184 and its revised implementing rules and regulation. The section is also tasked in assisting the Bids and Awards Committee in the successful conduct of procurement activities. It is headed by a procurement officer whose qualifications are those set in the position description and those set by the University.

The Supply and Property Section is responsible in the preparation of purchase requests; canvass proposals; abstracts of canvass; purchase orders; preparation of inspection and acceptance reports; and delivery of goods/supplies. The office is also tasked to implement objectives, rules and regulations pertaining to supply management; prepare and submit on time, periodic, annual reports and other required reports on supplies and property inventory; consolidate and submit annual procurement programs on supplies, materials and equipment; account and act as custodian of all office equipment and supplies; and conduct periodic inventory thereof. It is headed by the Supply Officer who is responsible in the supervision and coordination of supply and property activities in the University. *Section 3, Article I, RA9184; Administrative Manual approved through BOR Res. No. 670 s. 2018*


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2.1 Relevant Interested Parties

Interested Parties	Needs	Expectations
Bidders/Suppliers	<ul style="list-style-type: none"> Published/posted procurement plans, Bid documents, supplemental bid bulletins & plans, Possession of affected properties 	<ul style="list-style-type: none"> To be informed of procurement activities through publication and posting To avail of bid documents, supplemental bid bulletins and detailed engineering (plans) To be informed and updated of the status of their bid
Faculty, KSU Officials and Staff	<ul style="list-style-type: none"> Updated data and status of all procurement activities 	<ul style="list-style-type: none"> Prompt and accurate release of data
Students	<ul style="list-style-type: none"> Buildings, Facilities & Equipment 	<ul style="list-style-type: none"> Safe and conducive buildings; durable and updated facilities and equipment
Parents/Community	<ul style="list-style-type: none"> Conducive learning environment for their children 	<ul style="list-style-type: none"> Safe and conducive buildings for their children
Government Procurement Policy Board – Technical Services Office	<ul style="list-style-type: none"> Agency Procurement Compliance and Performance 	<ul style="list-style-type: none"> Prompt and accurate release of reports
Commission on Audit	<ul style="list-style-type: none"> Annual Report 	<ul style="list-style-type: none"> Prompt and accurate release of data
Department of Budget and Management	<ul style="list-style-type: none"> Agency Procurement Compliance and Performance 	<ul style="list-style-type: none"> Submission of APCP report on time
Donors/Benefactors	<ul style="list-style-type: none"> Accomplishment Report 	<ul style="list-style-type: none"> Comprehensive, accurate and updated reports on implemented projects

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2.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The office is manned by qualified, dedicated and competent BAC and Secretariat All BAC Members, Secretariat and staff are certified procurement specialists by the Government Procurement Policy Board Transparency is assured during bidding activities 	<ul style="list-style-type: none"> Limited office space for secretariat and BAC Proceedings Delayed submission of post qualification report due multi-designation of TWG's Delayed conduct of procurement due to incomplete documents submitted by concerned offices
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Possibility of increasing budget allocation for capital outlay Presence of DBM circular on creation of position and staffing of procurement unit 	<ul style="list-style-type: none"> Limited number of participating bidders/suppliers during procurement Delay in the procurement process due to failed bidders (No bidders or disqualification of bidders) Decrease in budget allocation because of low budget utilization rate Implementation of the cash-based policy on procurement process by DBM Poor internet connectivity for online publication/advertisements

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2.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment		
a.	Process: Procurement Risk Description: Limited office space for secretariat and BAC Proceedings	Causes: No permanent BAC office Consequences: <ul style="list-style-type: none"> ▪ Congestion/inadequate space for records 	<ul style="list-style-type: none"> ▪ Bidding activities are conducted in other venues/places. 	3	4	12-High	<ul style="list-style-type: none"> ▪ Relocation of the present BAC office to more spacious office. 	BAC, BAC Sec, HOPE	Jan. 2019	1	2	2- Low
b.	Process: Procurement Risk Description: Delayed submission of post qualification report due multi-designation of TWG's	Causes: Multi-designation of TWG's resulting to several official travels outside Consequences: Delayed issuance of contract award	<ul style="list-style-type: none"> ▪ Wait for the arrival or submission of post qualification reports by the TWG 	4	5	20- High	<ul style="list-style-type: none"> ▪ Designation of additional TWG's 	BAC, BAC Sec, HOPE	Nov. 2018	2	2	4-Low
c.	Process: Procurement	Causes: Incomplete	Require the concerned	5	4	20-High	<ul style="list-style-type: none"> ▪ Conduct of trainings to all 	BAC, BAC Sec, HOPE	March 2019	2	1	2- Low

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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment
Risk Description: Delayed conduct of procurement due to incomplete documents submitted by concerned offices	documents submitted by concern offices Consequences: Delayed procurement process	office to complete the documents like PPMP etc.				concerned offices on procurement planning.			

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2.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Possibility of increasing budget allocation for capital outlay Benefits: More projects to be implemented resulting to improved service	4	4	16 - High	Comply with all the requirements	Office of the President Procurement Unit	January 2019
Opportunity: Presence of DBM circular on creation of position and staffing of procurement unit Benefits: More efficient procurement services	4	4	16 - High	Apply at DBM for the creation of position thru scrap and build scheme or thru ROSSS	Office of the President Procurement Unit	August 2019
Opportunity: Presence of fast internet service providers Benefits: Faster online services like publication of projects	5	5	25- High	Follow-up application to internet service provider	ICT HOPE BAC	Jan 2019
Opportunity: Implementation of the cash-based policy on procurement process by DBM Benefits: Faster implementation of projects	5	5	25- High	Implementation of the provision of RA 9184 on early procurement scheme	BAC BAC Sec	Dec 2019

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2.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To minimize causes of delay in order to expedite the bidding process	percentage of contracts awarded in a year	50% of contracts awarded in a year	100% of contracts awarded in a year	Strict compliance with the reglementary periods set by law by not exceeding them; Conduct of training for bidders/suppliers on preparation of bids	HOPE, BAC, BAC Secretariat, TWG	December 2018	APCPI, PMR
To minimize/limit the use of alternative methods of procurement	Percentage of procurement done thru alternative method	80% procurement done thru alternative method	40% procurement done thru alternative method	Consolidate all common items in the APP and procure them through competitive bidding	HOPE, BAC, BAC Secretariat, TWG	January 2019	APCPI, PMR
To create/organize a separate BAC for Dagupan and Rizal Campuses	No. of BAC organized/ created	1	3	Designate members of the BAC from the pool of certified public procurement specialists	HOPE	January 2019	Reports

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2.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Procurement Services	<ul style="list-style-type: none"> Preparation of Purchase Request & Canvass Bidding Purchase Order 	<ul style="list-style-type: none"> Administrative Manual Approved thru Board Resolution No. 670 s. 2008 RA 9184 	<ul style="list-style-type: none"> BAC


3. Records Management

Supervise and administer the university's records regardless of its format. It is responsible for the authentication of records and keep track of the day-to-day correspondence. These records are vital tools in the efficient operation of the university and serve as reference materials for planning and implementation and future operations of the university.

3.1 Relevant Interested Parties

Interested Parties	Needs	Expectations
CHED, CSC, DBM & Other Gov't. & Private Offices, Institutions.	<ul style="list-style-type: none"> Communications 	<ul style="list-style-type: none"> Delivered on time to proper authorities
General Public	<ul style="list-style-type: none"> Information 	<ul style="list-style-type: none"> Accommodated and accurate
Employees (active, retired, separated, etc.)	<ul style="list-style-type: none"> SR Certifications Employees Records 	<ul style="list-style-type: none"> Updated Stored and Secured

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3.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Manned by competent and committed staff Existence of Records system 	<ul style="list-style-type: none"> Under manned Office structure and design does not conform to standards lack of security due to inappropriate layout Absence of records disposition schedule Inadequate storage facilities lack of centralized records facilities
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Establishment of paperless in-coming and out-going communication Plan to hire additional staff There is an out-going renovation/upgrading/improvement of offices 	Late communication (failure to address on time)

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3.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a.	Process: Records Management Risk Description: Lack of storage facilities for the security of records	Causes: Inadequate storage facilities Consequences: Difficulty of retrieval and access to records	▪ Decentralize d records storage	4	5	20- High	▪ Improvement of Records office structure	Administration	Nov. 2018	2	2	4- Low

3.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
▪ Inventory and disposition of Valueless and obsolete records	5	5	25	▪ Request approval for the disposal of valueless and obsolete records from the National Archives of the	Records Officer	November 2018

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
				Philippines (NAP)		
<ul style="list-style-type: none"> Distribution of communications, Advisory, Memo's. etc 	5	5	25	<ul style="list-style-type: none"> On Time distribution of correspondence to concern authorities 	Records Officer	Daily

3.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To provide accurate & timely information whenever and wherever it is needed in the office.	Accurate and on-time dissemination/ distribution of comm., information	None	October 2018	Establishment of paperless in-coming and out-going communication	Records Officer/Custodian	Daily	Log book
To develop & maintain efficient system for creating, storing, retrieving & disposing of the office information.	Safe, secured storage of records	None	October 2018	Improvement of Records and Archives office	Records Officer/Custodian	October 2018	logbook

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3.6 Reference Matrix

PROCESS	SUB-PROCESS	REFERENCES	RESPONSIBLE PERSON
Records Management	Storage, Preservation & Security of Records	<ul style="list-style-type: none"> Administrative Manual Approved thru Board Resolution No. 670 s. 200 National Archives of the Phils. (NAP), Gen. Circular No. 12 & GRDS 2009 	<ul style="list-style-type: none"> Head-Records Office


4. Human Resource Management

Responsible for the formulation of policies which focuses on human resource development of KSU employees and the effective management practices based on existing Civil Service rules and regulations. It is also responsible for planning, implementation & evaluation of employees and human development programs of the university.

4.1 Relevant Interested Parties

Interested Parties	Needs	Expectations
CSC	<ul style="list-style-type: none"> Report 	<ul style="list-style-type: none"> On-time submission
	<ul style="list-style-type: none"> appointments 	<ul style="list-style-type: none"> Within the required time of submission.
Faculty and Staff	<ul style="list-style-type: none"> Service Records Certification of Leave Balance PDS SALN(Documents under 201 files) 	<ul style="list-style-type: none"> Updated reports, accurate and on time submission
DBM	<ul style="list-style-type: none"> Reports on Plantilla of Personnel 	<ul style="list-style-type: none"> Accurate and updated GMIS-PSIPOP
CHED	<ul style="list-style-type: none"> Faculty Profile 	<ul style="list-style-type: none"> Updated, correct and complete reports

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4.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The office is manned by committed and qualified staff There is a plan to upgrade internet connectivity for online services Have started the implementation of online services of Human Resource Management System Upgrading of office facilities 	<ul style="list-style-type: none"> Lack of KSU Human Resource Development Plan. Weak implementation of performance appraisal system. Weak implementation of human resource Management policies on updating of leave balances of employees.
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Adequate training available for HR Upgrading of Internet services Proposal for promotion plan and creation for new position as per ROSSS 	<ul style="list-style-type: none"> Lack of applicants on highly specialized field causing lack of faculty on specialized field. Threat of sanction by CSC for late processing of appointment

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4.3 Risk Registry

Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
Process: Human Resource Management Risk Description: ▪ Lack of KSU Human Resource Development Plan.	None consolidation of College and Unit HR development plan Consequences: Employees are sent to trainings based on request	▪ Request are process thru FTDC and PTDC	3	4	12 High	▪ To consolidate college and unit HR development plan	HR	August, 2019	2	2	Low
Process: Human Resource Management Risk Description: Weak implementation of performance appraisal system	PMT's do not strictly implement guideline and policies Consequences: Unreliable result of performance evaluation system.	▪ PMT's do not review and evaluate IPCR of employees submitted	4	4	16- High	▪ Train the PMT's to review and evaluate IPCR properly and correctly	PMT's	April 2019	2	2	4- Low
Process: Human Resource	Review and posting of DTR's	▪ Posting is done	4	3	12- High	▪ Enforce monthly updating of leave	HR	January	2	2	4- Low

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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
Management Risk Description: Weak implementation of human resource Management policies on updating of leave balances of employees.	of all employees was not done monthly Consequence: Employees were not officially informed of their leave balances at the end of the year	when require by the employee concerned				balances ▪ Development of Electronic Human Resource Management System		2019 October 2019			

4.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: ▪ Adequate training available for HR Benefits: ▪ Improve Human Resource Management ▪ More empowered personnel	5	4	20- High	Send HR personnel to trainings	▪ HRMO ▪ Admin Office	March 2019
Opportunity: ▪ Upgrading of Internet services	4	4	16- High	Procure a better Internet Service Provider	▪ HRMO ▪ ICTC	June 2019

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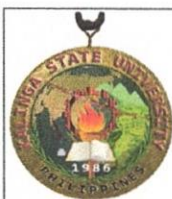
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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Benefits: ▪ Fast and better online HR services						
Opportunity: Proposal for promotion plan and creation for new position as per ROSSS Benefits: Additional manpower to perform HR function resulting to timely delivery of services	4	4	16-High	Follow up on the status of ROSSS endorsed by CHED	▪ Administration	March 2019

4.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To reduce waiting time of processing requested documents	No. of days from request to delivery/ issuance	2 Days	1 Day	Systematize the process of requesting documents	HRM Office	First quarter of 2019	Logbooks

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4.6 Reference Matrix

PROCESS	SUB-PROCESS	REFERENCES	RESPONSIBLE PERSON
Human Resource Management	▪ Hiring and selection	▪ CSC MC No. 25 S. 2017	HRMO
	▪ Performance Evaluation	▪ SPMS/ CSC MC No. 6 S. 2012/ BOT Res. No. 958 S. 2012	
	▪ Promotion/ Upgrading/Reclassification	▪ BOR Res. 958 S. 2012	
	▪ Performance Evaluation	▪ NBC 462/ CSC MC 15 S. 1990	
	▪ Incentive and rewards	▪ Admin Manual	
	▪ Learning and development	▪ Admin Manual ▪ Faculty Manual/ Admin Manual	

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5. General Services

The office of the General services Administer the efficient and effective implementation of the management system on the use of physical resources, facilities, equipment, properties and manpower services. This office is composed of the Civil Security section, janitorial section, repair and maintenance section and the motor pool and transport service section.

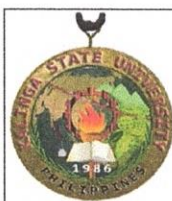
5.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Faculty, Staff, Students, Guests and Visitors	<ul style="list-style-type: none"> Security services Maintenance and Janitorial services Transportation services 	<ul style="list-style-type: none"> Secured campus Clean and orderly surroundings and buildings Safe and prompt transportation services

5.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The office is manned by competent and skilled personnel Presence of CCTV for security On-going construction of Centralized water system 	<ul style="list-style-type: none"> Lenient implementation of the entry policy Limited vehicle and drivers for transportation The perimeter fencing of the campus is not yet completed Lack of water distribution plan
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Outsourcing of janitorial services Outsourcing of Security services 	<ul style="list-style-type: none"> Unsettled road right of way of nearby village

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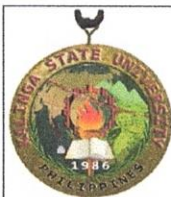
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5.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a.	Process: GENERAL SERVICES Risk Description: Lenient implementation of entry policies	Causes: To many entry point due to unfinished fence and lenient security protocol Consequences: Some student and employees of the school do not follow the entry policy	<ul style="list-style-type: none"> ▪ implementation of Gate pass, NO ID NO ENTRY, (for main gate only) Outsourcing of security services 	5	3	15-High	<ul style="list-style-type: none"> ▪ Periodic orientation and updates of security regarding university policies ▪ Continue construction of the school fence 	Administration Civil Security Officer	December 2019	2	2	4-low
b.	Process: GENERAL SERVICES Risk Description: Limited vehicle and drivers for transportation	Causes: Needs of colleges and other units are not met due to limited vehicles and drivers Consequences: Cancellation of some transportation request	<ul style="list-style-type: none"> ▪ Scheduling of travel is done in first come first serve basis 	4	4	16 High	<ul style="list-style-type: none"> ▪ Procurement of additional vehicle and hiring of additional drivers 	Administration and General service	December 2019	2	2	4-low

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c.	Process: General services Description: The perimeter fencing of the campus is not yet completed	Causes: <ul style="list-style-type: none"> Unsettled road right of way of the nearby residents Budget constraint Consequences: Campus Security condition is affected	<ul style="list-style-type: none"> Continues roving of security guards 	4	4	16 high	<ul style="list-style-type: none"> Continuation of the construction of fences 	Civil security section	Dec 2019	2	2	6 medium
d	Process: General Services Description: Lack of water distribution plan.	Causes: <ul style="list-style-type: none"> Unplanned Pipeline distribution system supplying colleges and units Consequences: 1. limited water supply to some colleges and units 2. High cost of water pumping expenditure	<ul style="list-style-type: none"> none 	4	4	16 high	<ul style="list-style-type: none"> Negotiation 	Administration Planning office Infra Office	Dec 2019	2	2	4 low

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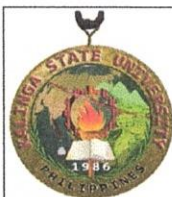
5.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: ▪ Upgrading of office equipment and facilities Benefits: ▪ Improve services to clients	5	4	20- High	▪ Procurement of office equipment and facilities	▪ Finance ▪ GSO director	Year round

5.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To acquire responsible and efficient guards and janitorial services through proper bidding process.	No. Of days	Last quarter of the year	2 months	Follow-up proposal for the acquisition of guards	BAC CSHead	Before the end of the semester	Review best bids proposal of bidders
Preparation of monthly building repair and maintenance schedule	No. of days to prepare maintenance schedule	5 days	3 days	Conduct inspections and prepare monthly repair and maintenance schedule	GSO and Maintenance sections	Dec. 2018	Inspection and Evaluation

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Monthly maintenance of school facilities	No. Of maintenance personnel involved	monthly	weekly	Conduct continuous cleaning, greening and maintenance of school facilities and surrounding	Janitorial services	Year round	logbook
Scheduling of vehicle and drivers travels	No. Of days before travel	5 days	3 days	Conduct of pre -travel and drivers orientation and preparations	Motor pool and transport section head	Year round	Travel order and logbook
Repair and maintenance of other school equipment	Maintenance schedule	3 months	monthly	Conduct of continuous maintenance schedule for other facilities	Maintenance section	Year round	logbook

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5.6 Reference Matrix


PROCESS	SUB-PROCESS	REFERENCES	RESPONSIBLE PERSON
General Services	<ul style="list-style-type: none"> ▪ Civil Security ▪ Motor pool Services ▪ Repair & Maintenance ▪ Janitorial 	<ul style="list-style-type: none"> ▪ Administrative Manual Approved thru Board Resolution No. 670 s. 2008 	<ul style="list-style-type: none"> ▪ Director-GSO

6. Information and Communication Technology Center (ICTC Unit)

ICT Center plays a vital role on the ICT needs of the university. Its mandate is governed by the existing Philippine laws, rules and regulations related to information communication and technology (ICT) such as Data Privacy Law of 2012 (R.A. 10173), Cybercrime Prevention Act of 2012 (R.A. 10175), the Electronic Commerce Act of 2000 (R.A. 8792) and other laws related to copyrights, security and other statutes regarding the use of ICT resources. It is headed by a designated ICT chairman under the office of the president. Currently, the office maintains and manages the information systems of the university such as Student Information System, Accounting System, and Web portal, Online Public Access Cataloging System, Hardware and Network Infrastructure. Specifically it has the following duties and responsibilities;

- Build, develop and maintain ICT infrastructure and systems that will help the university to promote instruction, administration, research, extension and production;
- Assure the integrity, reliability, availability, confidentiality and efficiency of the ICT resources of the university

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6.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students and Employees	Internet Connectivity	Fast and Affordable connectivity
Students	Student Information and Accounting System (SIAS)	Fast and secured system

6.2 Strength, Weaknesses, Opportunities and Threats

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Full Support of the administration Available technical staff Enough equipment to cater the needs of the end-users 	<ul style="list-style-type: none"> Hardware and Software Occasional Breakdown Poor Network Security ICT Servers and Information System security are has security vulnerability
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Available technology for adoption Presence of fiber optics technology for internet connection 	<ul style="list-style-type: none"> Presence of External intruder (Hacking) Rapid change of Technology

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6.3 Risk registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a.	Process: ICT Hardware and Software Breakdown Risk Description: ICT Hardware and Software breakdown at the computer laboratory and offices	Causes: Power Failure/Surge, Malware infection, Factory Defect, Negligence of end user, outdated software, downloading and installation of unlicensed software Consequences: Loss of data/information, Corrupted data/information, low productivity, hardware and software failure	Preventive Maintenance measures	5	3	15 High	Procurement and installation of power surge protector/UPS and license anti-virus, Orientation of End User about malware and proper operation/handling of ICT hardware and software, installation of software updates, procurement of license software	End User, Laboratory Custodian/Coordinator, ICTC	December 2018	2	3	6-Medium

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
b.	Process: ICT Technical Support Risk Description: Slow service in providing technical support on ICT hardware and software	Causes: Delayed reporting of malfunctioned and damage ICT equipment and software, Lack of time management of computer laboratory custodian/coordinator and ICTC personnel in executing repair, lack of technical skills to provide technical support, lack of hardware tools and license software tools, lack of spare parts to replace damage ICT equipment	Constant monitoring and follow-up of ICT equipment and software that was subjected to technical support, immediate reporting and constant follow up to the supply office on the procurement of ICT damage spare parts	5	3	15 High	Orientation on the process of reporting for malfunctioned and damage ICT equipment and software, Remind/encourage computer laboratory custodian/coordinator and ICTC personnel to improve their time management strategy, Send to training the computer laboratory custodian/coordinator and ICTC personnel,	End User, Laboratory Custodian/Coordinator, ICTC	December 2018	2	3	6-Medium

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
		Consequences: No available ICT equipment, low productivity, too many pending repair					encourage peer teaching, procure hardware and license software tools					
c.	Process: ICTC Network Security Risk Description: University network is at risk for internal and external attack	Causes: Minimum network security measures, no firewall/no intrusion detection device/software, lenient implementation of internal policy on hacking/intrusion of network, no physical security on network devices Consequences: Loss of data/information,	▪ Domain name system configuration, IP address segmentation	5	3	15 High	▪ Installation of firewall/intrusion detection device/software, configuration of virtual private network, orientation of users, strict implementation of internal policy on hacking/intrusion of network, installation of network device cabinet, periodic	ICTC	December 2018	2	3	6-Medium

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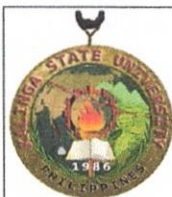


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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
		corruption of data/information, low productivity, violation of data privacy act					audit of network logs, send ICTC personnel and computer laboratory custodian/coordinator on network security training					
d.	Process: ICT Servers and Information System security Risk Description: Servers and Information System are at risk of attack internally and externally	Causes: Minimum security measures installed, no cabinet for servers, outdated software Consequences: Loss of data/information, corruption of data/information, low productivity, violation of data privacy act	<ul style="list-style-type: none"> Activation of basic server firewall, updating of operating system 	5	3	15 High	<ul style="list-style-type: none"> Installation of firewall/intrusion detection device/software, proxy server and license antivirus, installation of server cabinet, periodic audit of logs, send ICTC personnel and computer laboratory custodian/coordinator on server 	ICTC	December 2018	2	3	6-Medium

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
							and information system security training, installation of software update					
e.	Process: Enrolment System Risk Description: Enrolment System is limited to main campus	Causes: No Virtual Private Network/current enrolment system is limited to LAN Consequences: Student from other campus needs to enrol at main campus, Long queue of student during enrolment, inconvenience of students	▪ Network broadcast of the enrolment system to the LAN of main campus, added cost to students from other campus	5	3	15 High	▪ Subscribe/config ure University VPN to interconnect enrolment system to other campuses	ICTC	Dec 2018	2	2	4 Low

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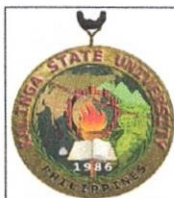
6.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: <ul style="list-style-type: none"> Internet service provider currently upgrading their internet service for online services Benefits: <ul style="list-style-type: none"> Fast and better HR services 	5	5	25- High	<ul style="list-style-type: none"> Procure a better Internet Service Provider 	<ul style="list-style-type: none"> HRMO ICTC 	January 2019

6.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To reduce down-time of online services	Online services are open 24/7	Less than 24/7 Hours open	24 /7 open	Preventive maintenance and backup servers	ICTC	Dec. 2018	Frequent Monitoring
To reduce hardware breakdown	Hardware resources are functioning when needed	5 Hardware are malfunctioning every day	1 Hardware are malfunctioning every day	Preventive maintenance and backup peripherals	ICTC	Dec 2018	Frequent Monitoring

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6.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
ICT Services	<ul style="list-style-type: none"> Maintenance of the University Local Area Network 	<ul style="list-style-type: none"> ICT Manual Approved thru Board Resolution Data Privacy Act E-commerce Act 	<ul style="list-style-type: none"> ICTC Chairman, Staff, Laboratory custodian
	<ul style="list-style-type: none"> Maintenance of the University Official Website 		
	<ul style="list-style-type: none"> Maintenance of the locally hosted server 		
	<ul style="list-style-type: none"> Maintenance of the computer and equipment (Computer Laboratories/ Offices) 		

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7. Student Development Services

7.1. Laboratory Service

The Central Science Laboratory Unit of Kalinga State University caters the needs of KSU students through the different laboratory services. These services include the borrowing of equipment, request and upgrading of equipment, conducting of researches and among others.

Following properly the specific procedures in doing experiments and even simple activities; safety awareness, procedures, policies and guidelines are set for the information of all concerned on the proper handling, caring and maintenance of the laboratory would ensure the safety of all the staff and students who work on with their own specified laboratory activities.


Moreover, science laboratory services allow students to interact directly with the data gathered with the availability of modern quality laboratory materials and equipment. They get first-hand learning experience by performing various experiments of their own. With the availability of these equipment and apparatuses, students who are the foremost clientele of this State University are the first one to be benefited for they will become competent graduates in their chosen fields and well-rounded individuals who appreciate knowledge and become cognizant to their own fields of specializations.

By virtue of equipping our students with the latest and advanced laboratory materials and equipment, our university will be able to contribute a lot in the specific advances yet to come. Moreover, having the latest science lab supplies and equipment, science would be very interesting and effective for our students not only in Kalinga Province but also in the entire Asia Pacific Region for they are encouraged to make significant contributions in the field of physics, biology, chemistry and other streams of science; thus, this University plays a vital role in bringing up the next generation of Scientists, Researchers, Engineers, Agriculturists, Foresters, Criminologists and among others.

7.1.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students	<ul style="list-style-type: none"> ▪ Laboratory rooms <ul style="list-style-type: none"> a. Speech b. Computer c. Science 	<ul style="list-style-type: none"> ▪ Modernized and sufficient supplies of equipment and apparatuses ▪ State-of-the-art lab room
Faculty	<ul style="list-style-type: none"> ▪ Supply of materials and 	<ul style="list-style-type: none"> ▪ Adequate supplies

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	chemicals ▪ Conducive rooms	▪ Safe laboratory rooms
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7.1.2 Strength, Weaknesses, Opportunities and Threats

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> ▪ Newly Constructed Central Laboratory Building ▪ Availability of a Central Science laboratory Manual 	<ul style="list-style-type: none"> ▪ Incomplete laboratory complex ▪ Laboratory rooms with complete amenities ▪ Weak internet connectivity. ▪ Yearly calibration of equipment is not conducted regularly
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> ▪ A unique Research Laboratory hub for Kalinga and nearby provinces ▪ Strong support from the LGU 	<ul style="list-style-type: none"> ▪ Limited trainings on calibration of laboratory equipment

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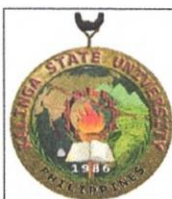
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7.1.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
1.	Risk Description: <ul style="list-style-type: none"> Incomplete laboratory complex 	Causes: Slow Procurement of needed laboratory equipment Consequences: Laboratory activities are not properly conducted	<ul style="list-style-type: none"> Only simple activities are conducted in laboratory classes 	4	4	16 - High	<ul style="list-style-type: none"> Reinforce on the procurement of needed equipment 	Procurement Office Supply Office Laboratory Staff	August 2019	2	2	4 -Low
2.	Risk Description: <ul style="list-style-type: none"> Laboratory rooms with incomplete amenities 	Causes: Not properly executed building plan Consequences: Hazardous to faculty and students	<ul style="list-style-type: none"> Nonfunction al facilities are off limits 	4	4	16 High	<ul style="list-style-type: none"> Repair of affected amenities 	Infrastructure Unit Laboratory Staff	February 2019	2	2	4 - Low
3.	Risk Description <ul style="list-style-type: none"> Weak internet connectivity. 	Causes: Congested internet users Consequences: Interactive	<ul style="list-style-type: none"> Faculty used personal broadband 	4	4	16 - high	<ul style="list-style-type: none"> Purchased of connectivity services to meet the demands of the university 	ICT Unit	January 2019 onwards	2	2	4 - Low

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		laboratory activities are seldom conducted										
4.	Risk Description ▪ Yearly calibration of equipment is not conducted regularly	Causes: No trained staff to conduct calibration Consequences: Inaccurate result of laboratory activities	▪ Temporary trouble shooting as need arises	4	4	16 - high	▪ Send staff for training on calibration	April – June 2019	FTDC Laboratory Staff Laboratory Instructors	2	2	4 Low

7.1.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: ▪ A unique Research Laboratory hub for Kalinga and nearby provinces Benefits: Service to the community	5	4	20- High	▪ Dissemination of available Laboratory services to the community	▪ Laboratory staff	▪ January 2019

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
▪ Strong support from the LGU Benefits Enhancement of available resources	4	4	16 - High	▪ Strengthen partnership with LGU and other agencies	▪ Laboratory	January 2019

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7.1.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To fast track the purchase of all requested lab apparatuses and equipment	No. of days from written request to purchase order	20 days	15 days	Submit on time the PPMP for proper consolidation	-Central Lab -Supply Office -BAC Office	Before every year ends	Follow up to the supply office
Strengthen Internet connectivity	Full Connectivity	Limited	Full access and coverage	Purchase of connectivity services to meet the demands of university	- ICT Unit	January 2019 onwards	volume of users
To search and identify a licensed calibration laboratory that is certified by an independent body	No. of days to calibrate the identified lab equipment	15- 25 days	20 days	Search from the website possible agencies and/or licensed laboratory suppliers	-Central Lab -Supply Office -BAC Office	January 2019	Evaluation and Communication
To reduce the waiting time of students in borrowing their needed materials	One to two days to request needed equipment	Two days	One day	Prepare immediately the request apparatuses	-Staff of Lab Office	October 2018	Request slips

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7.1.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
✓ Laboratory Services	✓ Borrowing of Equipment ✓ Requisition of Equipment ✓ Upgrading of Equipment ✓ Conducting Research	▪ Laboratory Manual	▪ Central Laboratory Staff

7.2 Guidance Services

The counselling, testing & placement center of Kalinga State University caters the needs of students through the different guidance services. Appraisal services include all information of students in school which are considered important for their educational and personal-social adjustment. The heart of the guidance is the Counselling services which help clients in solving their problems, & provide appropriate therapy for certain behavioural difficulties. Testing such as personality & IQ provides better self – understanding and self – improvement. Further, information services disseminate information relevant to the needs of student and assist them in their personal, educational and occupational planning. More so, follow up services are extended to clientele who needs assistance even outside the school premises, to find out what is happening to the behavior of the clientele. Furthermore, Referral services are tapping of agencies, organizations or individuals that may be better assistance in the counselee's resolution of problems and attainment of full potential. Lastly, Placement services facilitate the educational/ academic of student including their personal and social aspect which often overlooked.

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7.2.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students	<ul style="list-style-type: none"> ▪ Certificate of Good Moral ▪ Counselling ▪ Testing ▪ Placement 	<ul style="list-style-type: none"> ▪ Professional and accurate delivery of services

7.2.2 Strength, Weaknesses, opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
	<ul style="list-style-type: none"> ▪ Highly educationally qualified, committed, compassionate & competent guidance personnel. ▪ Income generating services ▪ Even if it's insufficient in guidance personnel, services are readily available. ▪ Multi – tasking guidance personnel 	<ul style="list-style-type: none"> ▪ Insufficient guidance personnel ▪ Noncompliance to standard counseling room set by guidance and counseling profession. ▪ Insufficient standardize test materials suited for adolescents ▪ No conducive & ventilated room for testing ▪ Income is not utilized to improve the services ▪ Less opportunity to attend relevant trainings and seminars related to profession ▪ Non – existence of Multi faith office and personnel
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> ▪ Tapped as career, personality enhancement resource speakers. ▪ A number of invitations to attend trainings and seminars are sent in the office. ▪ Well – trusted guidance personnel ▪ Organized and trained peer facilitators ▪ Reformation of values and spiritual growth through multi faith activities 	<ul style="list-style-type: none"> ▪ Guidance services are not well provided to students ▪ Confidentiality of the counseling process is not fully observed and clients are not comfortable reveal/ divulge information. ▪ Results of standardize test may not reflect the real status of the clients since it emanate from western world. ▪ Security concerns in case of emergency situation ▪ Weak multi faith activities

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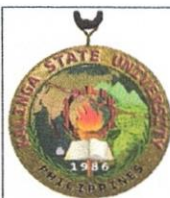
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7.2.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a.	Process: Counselling Risk Description: Insufficient Guidance Personnel Students may not be given the assistance she/he needs on time	Causes: No additional plantilla for Guidance Counselor position. Consequences: Difficulty of sourcing Registered Counsellor	Designation of Guidance counsellor. coordinator, & peer facilitator & Psychometric lan	4	4	16 High	Additional/ Increased in number of Guidance counsellor in Plantilla ▪ Designation of Guidance Coordinator, Peer Facilitator	Guidance HRMO	January 2019	3	3	9 Medium
b.	Room is not suitable for counselling Students may not be comfortable to divulge information	Open / Transparent counselling room If not given proper therapy, students may experience depression that would decrease the motivation of the	Students are assured that there is confidentiality on what she/he will disclose. Students are	4	4	16 High	Request for a soundproof, conducive, well - ventilated counselling room. ▪	CTPC, SDSPS, Planning, GSO	January 2019	3	2	6 Low

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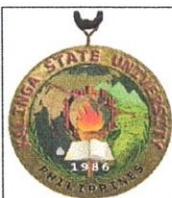
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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
		students	asked to sit in her/ his comfortable position. Other side of Room is provided with curtain. ▪ All doors are closed.									
c.	Process Multi – Faith Risk Description Non-existent of multi-faith center Insufficient multi-faith volunteers to conduct activities	Cause No designated area for multi-faith Consequence Difficulty conducting activities regarding multi-faith.	Borrowing of available rooms in times of activities	5	5	25 High	Designate personnel who will man multi-faith activities ▪ Provision of campus ministry office (multi-faith)	CTPC, SDSPS, GSO, Office of the President	January 2019	3	3	9 Moderate
d.	Process Testing	Cause Difficulty sourcing for the purchase of	Thorough assessment	4	4	16 High	Request for a more updated test materials that	CTPC, Finance office,	May 2019	3	2	6 Low

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	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
	Risk Description Insufficient updated testing materials	testing materials Consequence Students may not be given the ideal test needed for their assessment	of what test should be given to students ▪ Specific tests are given per year level				would cater the needs of the students.	Accounting office				
e.	Insufficient testing room (especially for group testing)	No designated room for testing Students may feel uncomfortable which may lead to an invalid result	Borrowing the time (asking permission to) of the subject teacher to administer test for the whole class. ▪ Usage of the AVR (and other available rooms) in case of	4	4	16 High	Request for a room conducive for group testing.	CTPC, SDSPS, Planning, Finance office	May 2019	3	2	6 Low

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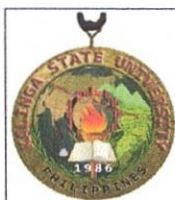


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Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
		testing for big number of participants									

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7.2.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Tapped as career and personality enhancement resource speakers. Benefits: <ul style="list-style-type: none"> More extension services are provided to the community 	4	4	16 High	<ul style="list-style-type: none"> Attend relevant seminars to update counsellors capability 	<ul style="list-style-type: none"> CTPC, SDSPS and FTDC Committee 	<ul style="list-style-type: none"> Year round
Opportunity: A number of invitations to attend trainings and seminars are sent in the office. Benefits: <ul style="list-style-type: none"> Retool and updated to the current trends in the profession 	5	4	20- High	<ul style="list-style-type: none"> Enhancing capability through attending trainings, seminars and workshop by the profession 	<ul style="list-style-type: none"> CTPC, SDSPS and FTDC 	<ul style="list-style-type: none"> Year round
Opportunity: Well – trusted guidance personnel Benefits: <ul style="list-style-type: none"> Lessened the number of students who are suffering stressful life. 	5	5	25- high	<ul style="list-style-type: none"> Maintain the full trusted guidance personnel 	<ul style="list-style-type: none"> CTPC 	<ul style="list-style-type: none"> Year Round

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Organized and trained peer facilitators Benefits: <ul style="list-style-type: none"> More students will be helped and guided 	5	4	20- High	<ul style="list-style-type: none"> More updated seminars and trainings Convince more potential students to become peer counsellors 	<ul style="list-style-type: none"> CTPC, SDSPS Peer facilitators organization 	<ul style="list-style-type: none"> Year round
Opportunity: Reformation of values and spiritual growth through multi faith activities Benefits: <ul style="list-style-type: none"> Reformed students and employees 	5	5	25 High	<ul style="list-style-type: none"> Designate a Multi faith personnel and provide office Strengthen multi faith organization 	<ul style="list-style-type: none"> CTPC, SDS PS and office of the president Students, CTPC SDS PS 	<ul style="list-style-type: none"> January 2019

7.2.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To Increase the number of well-rounded personality	No. of cases of misbehaviors	200 students	350 students	Conducts seminars on personality enhancement,	CTPC	Year round	Counseling Logbook

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
				awareness Conducts professional mentoring to teachers on their roles as teacher counselors			
Improves self-awareness and achieve full potentials of students	No. of students who took the tests (personality, IQ)	800 students	900 students	Administer IQ and personality tests. Purchase updated standardize test materials for IQ and Personality	CTPC SDSPS Accounting	November 2018	Testing logbook
To screen/ re direct students in their chosen career.	No. of certification (for transfer and admission) released	500 students	700 students	Conducts admission tests to direct/redirect students to courses that match their abilities	CTPC	March 2018 to July 2018	Admission logbook Control Number
To inculcate policies about the different services and offices of KSU	No. of students who participated in the	1000 students	1500 students	Conducts orientation program to all freshmen and transferee students	CTPC, SDSPS. Admin	August 2018	Attendance

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
	orientation program			regularly			
To gather relevant information about the students that might be use as resource in future counseling	No. Personal inventory files collected	1000	1500	Require students to answer personal inventory form during admission test	CTPC	March 2018 to July 2018	Personal inventory files
To instill knowledge that will boost their personality, social and academic	No. of students who participated in seminars	500 students	600 students	Conducts seminars that would address the personality, social, and academic concerns of students	CTPC	December 2018	Attendance
To be well adjusted to new environments and to be able to survived college life	No. of students who participated in seminars	500 students	700 students	Conducts seminars on stress management and other related issues	CTPC	December 2018	Attendance


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7.2.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Guidance and Counselling	<ul style="list-style-type: none"> ▪ Guidance Services: <ul style="list-style-type: none"> ✓ Counselling ✓ Testing ✓ Multi - faith Services ✓ Appraisal ✓ Follow Up 	<ul style="list-style-type: none"> ▪ Administrative Manual Approved thru Board Resolution No. 670 s. 2008 ▪ RA 9256 	<ul style="list-style-type: none"> ▪ University guidance counsellor

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7.3 Health Services

Kalinga State University is an institution who serves students and other stakeholders. Its concern is also on the health benefit of the clients. Thus, the three campuses of the institution has health offices. It is headed by a Medical Doctor with her staff. She is assisted by the Registered Nurses. Aside from the Medical Doctor, KSU has also a dentist to look for the dental problems of every clientele.

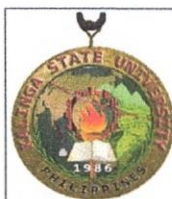
Kalinga State University Medical and Dental Services offer the following:

1. Physical examination of new enrollees and transferees every school year; and physical examination of personnel for renewal and employment.
2. Examine, diagnose and treat walk-in patient and refer cases that needs secondary evaluation and management.
3. Blood pressure monitoring
4. Do minor surgeries
5. Counselling of patients related to their disease entity and/or refer for guidance counselling
6. Conduct health related lectures or seminars and share advocacies implemented by GAD
7. Provide information on oral hygiene technique and other health related advocacies.
8. Medical and dental mission to other areas as an extension of medical services.
9. First aid provider during sports activities
10. Invite sponsors that provide free laboratory examination for clients and other sponsors to talk on medical related topic.

7.3.1 Relevant Interested Parties

Interested Parties	Needs	Expectations
Students, Employees ,and employee's dependents	<ul style="list-style-type: none"> ▪ Consultation ▪ Emergency Treatments ▪ BP monitoring ▪ Health related seminars, inquiries and advices ▪ Referrals Dental procedure such as <ul style="list-style-type: none"> ▪ Dental consultation ▪ Oral Prophylaxis ▪ Tooth Extraction ▪ Tooth Restoration 	<ul style="list-style-type: none"> ▪ Professional and reliable medical/dental services

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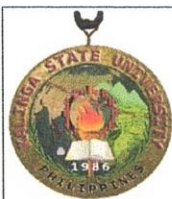
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7.3.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Accessible Health Services to Students and Employees Benefits: <ul style="list-style-type: none"> Better health services 	5	4	20- High	Massive Information dissemination Visible Signage's	Health Services	Year Round
Opportunity: <ul style="list-style-type: none"> Manned by fulltime and well experienced medical doctor, dentist and nurses. Benefits: <ul style="list-style-type: none"> Quality Health Service 	5	4	20- High	Continuous professional development	FTDC Medical and Dental Staff	Twice in a year
<ul style="list-style-type: none"> Well equipped medical and dental clinic Benefit: Quality Health Services	4	4	16 High	Maintenance of equipments	Health Staff	January 2019
<ul style="list-style-type: none"> Availability of free medicines Benefit: Healthy Environment	4	4	16 High	Early acquisition of medicines Regular replenishment of medical supplies	Health Staff Procurement Supply	January 2019

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Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Semi - annual conduct of bloodletting activity Benefits: Sufficient blood supply	4	4	16 High	Sustainment of activity	Health Staff PHO	January and September 2019
<ul style="list-style-type: none"> Tapped by other agencies to participate Medical/Dental mission and as resource speaker Benefits Community Service	4	4	16 high	Planning of activities	Other agency Health Staff	January 2019
Opportunity: <ul style="list-style-type: none"> Availability of seminars for medical and dental staff Benefits: Professional updating	5	4	20- High	Attendance to seminars/ trainings	FTDC Health Staff	January 2019

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7.3.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
Lessen response time on emergency cases	No. of Minutes in responding emergency cases	45 minutes No available vehicle	15 minutes Designating of vehicle	Request for availability of vehicle	Health GSO	January 2019	Logbook
To prevent outbreak of communicable diseases	No. of patients			Massive information dissemination on health related seminars	Health services	January 2019	Completed documents


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7.3.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
<ul style="list-style-type: none"> Health Services 	<ul style="list-style-type: none"> Consultation Emergency Treatments BP monitoring Health related seminars, inquiries and advices Referrals Dental procedure such as <ul style="list-style-type: none"> Dental consultation Oral Prophylaxis Tooth Extraction Tooth Restoration 	<ul style="list-style-type: none"> Administrative Manual Approved thru Board Resolution No. 670 s. 2008, RA 2382 (Medical Services) RA 9484 (Dental Services) 	<ul style="list-style-type: none"> Health Staff

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7.4 Library Services

KSU Library Services commit to be an information center that provides quality service concerned with the enhancement of its collection, facilities, personnel and services and serves as a catalyst in disseminating quality information needed by its users.

Goals:

The University Libraries commit to be:

1. An information center that provides quality service concerned with the enhancement of its collection, facilities and staff and serves as a catalyst in disseminating quality information needed by its users.
2. A library that is interconnected with other libraries, agencies and foundations.

Objectives:

General:

Assist its clientele, especially the students, in their academic and personal development, through the provision of updated resources and services in order to effectively participate in the attainment of the institutional mission, and to be more responsive to information demands.


Specific:

1. To support the university in carrying out its mission through continuous development of its collections, services, facilities and staff.
2. To support the total program of the university by acquiring and making available library materials and services.
3. To endeavor to instill reading habits and develop in students independent research work, critical analysis of books and other library resources.
4. To complete the library automation and to develop a full-service electronic & automated library system to achieve a digital electronic access library.
5. To make an information drive on resources of the library through orientation programs.
6. To accommodate outside researchers as one of the services of the university to the community

7.4.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students, employees, alumni & the community	<ul style="list-style-type: none"> Books, journals & e-resources Library staff Reading area 	<ul style="list-style-type: none"> Updated and relevant books, journals & e-resources Courteous & prompt service by library staff Spacious, well-lighted & well-ventilated reading & study area

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7.4.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTH	WEAKNESSES
I N T E R N A L	<ol style="list-style-type: none"> 1. Strong support from the Administration. 2. Main Campus has a separate library building; Campus Libraries are continuously upgraded in its collection and facilities. 3. University Libraries are in MOU/MOA with DICT and BSP; and in-exchange program with other SUCs for research journals. 4. The University Libraries are recipient of book donations from foundations, book donors & from other libraries. 	<ol style="list-style-type: none"> 1. Insufficient reference materials for some professional subjects/ general education courses. 2. Slow internet connectivity. 3. Only 40% of the student population are library users.
	OPPORTUNITIES	THREATS
E X T E R N A L	<ol style="list-style-type: none"> 1. The ROSSS includes opportunity for the creation of librarians and staff items 2. New learning models due to presence of information technology 	<ol style="list-style-type: none"> 1. Increasing cost of reference resources. 2. High cost of subscription fee of e-resources.

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7.4.3 Risk Registry

Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
									L	I	Risk Rating
a Process: Managing Library Services Risk Description: Insufficient reference materials in the library	Causes: Not returning of reference materials on due date by Faculty, Staff & students Consequence: Other clients are deprived of their privilege to use the unreturned reference materials	<ul style="list-style-type: none"> ➤ Students pay overdue fines ➤ Faculty & staff are given notices to return borrowed reference materials 	4	5	20- high	Retrieve borrowed & overdue reference materials	Librarians	2018	2	2	4-low
b Risk Description: Slow internet connectivity	Causes: Weak internet connection Consequence: 3 out of 23 computer units at the E-Library Section can access E-Resources if computer units are use at the same time.	Make students use the E-Library by threes	4	5	20-high	<ul style="list-style-type: none"> ▪ Subscrib ed to bigger bandwidth h ▪ purchas e optic fiber landline connecti on 	Administratio n & ICT	2019	2	2	4-low

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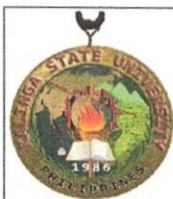
Only 40% of the student population are library users	Causes: Poor library/study habit Consequences: <ul style="list-style-type: none"> Low grades Low passing rate in qualifying examinations/board course programs 	Encourage & motivate users thru marketing of resources by conducting orientations, library tour, post announcements on bulletin boards & on social media in the library webpage and library Facebook page	5	4	20-high	<ul style="list-style-type: none"> Intensive information on dissemination of library services, specially the e-resources 	Librarians	2018 - 2019	2	2	4-low
Increasing cost of reference materials & e-resources	Causes: Increase in publication and importation cost Consequences: Limited acquisition of reference materials	<ul style="list-style-type: none"> Recipient of books from donors In exchange program with other SUCs for its research journals In linkages with SUCs thru referral letters In MOU/MOU with BSP & DICT for e-resources and reference materials 	4	4	16-high	Explore other book donors & open access e-resources	Librarians	2018 - 2019	2	2	4-low

Legend:

Likelihood (L)

Impact (I)

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7.4.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: The ROSSS includes opportunity for the creation of librarians and staff items Benefits: Creation of position for additional manpower	5	5	25- High	Follow up on the status of ROSSS endorsed by CHED	Administration	October, 2019
Opportunity: New learning models due to presence of information technology Benefits: Students will acquire new learning competencies	5	5	25- High	Subscribed to bigger bandwidth and purchase optic fiber landline connection	Administration & ICT	2018-2019

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7.4.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To minimize overdue of reference materials borrowed by students, faculty and staff	Number of unreturned reference materials by students, faculty & staff	Faculty & staff= one semester	1 week	<ul style="list-style-type: none"> Follow-up notices of delinquent students & faculty members Retrieve reference materials 	Librarians & staff	Dec., 2018	List of delinquent borrowers
To upgrade internet connectivity for the E-Library	Full access to e-resources	Connectivity is at 10MBPS with limited data	100 MBPS with unlimited data	Purchase landline connectivity thru PLDT	Administration & ICT	June, 2019	Library Users' Statistics
To increase the number of library users	Percentage of library users	At least 40% of the student population are library users	65% of student population	<ul style="list-style-type: none"> Collaborate with Faculty for more library usage Continuous acquisition & updating of library resources Retrieve borrowed & overdue reference materials from faculty & staff 	Librarians, Administration	2018-2019	Library Users' Statistics
To increase linkages & book donors & explore open access e-resources as sources of additional reference materials	<ul style="list-style-type: none"> Number of established linkages & Number of accessed links 	5	2	<ul style="list-style-type: none"> Collaboration with other universities and librarians 	Librarians	2019	List of linkages

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7.4.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Management of Library Services	<ul style="list-style-type: none"> ✓ Issuance of reference materials ✓ E-resources services ✓ Availability of reference materials 	<ul style="list-style-type: none"> ✓ Library Manual Approved thru Board Resolution No. 623 s. 2007 ✓ RA 9246, ✓ Administrative Manual Approved thru Board Resolution No. 670 s. 2008 	<ul style="list-style-type: none"> ▪ Librarians

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7.5 Office of Sports and Socio-Cultural Affairs

The office of the Sports and Socio-Cultural Affairs plan and implement all programs or projects of the State University related to athletic, sports, and socio-cultural activities;

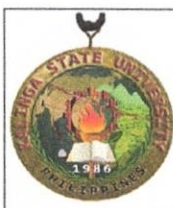
7.5.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Students/ Athletes/E mployees	<ul style="list-style-type: none"> Sports Facilities 	<ul style="list-style-type: none"> Complete, safe and decent sports facilities

7.10.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> Talented and skilled students Socially and culturally oriented students Available area for sports activities 	<ul style="list-style-type: none"> Untrained athletes/participants to go for competition No appropriate training for coaches
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Support from LGU 	<ul style="list-style-type: none"> Free tuition causes students not to join Socio-cultural and Sports activities

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7.5.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a	Process: Conduct of sports and socio-cultural activities Risk Description: Untrained athletes/participants to go for competition	Causes: Lack of training Consequences: Low ranking in regional and national competitions	<ul style="list-style-type: none"> Designate available coaches 	3	4	12- High	Action plan for training <ul style="list-style-type: none"> Training of players/participants 	IGU	September 2018	2	3	6-Medium
b	Process: Sports & Socio-Cultural - Coaches and trainers training Risk Description: No appropriate training for coaches	Causes: Lack of training opportunity Consequences: Poor performance on sports activities	<ul style="list-style-type: none"> Designate available coaches 	3	4	12- High	<ul style="list-style-type: none"> Training of faculty 	IGU	September 2018	2	3	6-Medium

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7.5.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: <ul style="list-style-type: none"> Financial support from the LGU Benefits: <ul style="list-style-type: none"> Students are inspired to join Socio – Cultural and Sports activities 	5	4	20- High	<ul style="list-style-type: none"> Request for support to both CLGU and PLGU 	<ul style="list-style-type: none"> Office of the Socio – Cultural and Sports LGU 	<ul style="list-style-type: none"> Year-round

7.5.5 Improvement Plan

Procurement of additional sports facilities	Sufficient sports facilities	Insufficient sports facilities	Year-round	To procure additional	Director for Socio – Cultural and Sports	January 2019	Inventory of sports facilities
Procurement of additional sports facilities	Sufficient sports facilities	Insufficient sports facilities	Year-round	To procure additional	Director for Socio – Cultural and Sports	January 2019	Inventory of sports facilities

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7.5.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Sports and Socio-Cultural	Scouting of potential athletes and socio-cultural potentials for the regional up to national level competition	<ul style="list-style-type: none"> Sports and Socio-Cultural manual University Code 	Director for Sports and Socio-Cultural

8. Supply Office


Republic Act 9184 otherwise known as the Government Procurement Reform Act requires that all procurements of the national government, its departments, bureaus, offices and agencies, including state universities and colleges, government-owned and/or -controlled corporations, government financial institutions and local government units, shall, in all cases, be governed by the principles of public monitoring, accountability, competitiveness, transparency and streamlined process.

The Procurement Services Section of KSU is responsible in procuring the needed supplies, materials, equipment and services of the University in accordance with Republic Act 9184 and its revised implementing rules and regulation. The section is also tasked in assisting the Bids and Awards Committee in the successful conduct of procurement activities. It is headed by a procurement officer whose qualifications are those set in the position description and those set by the University.

The KSU Property and Supply is responsible in the preparation of purchase requests; canvass proposals; abstracts of canvass; purchase orders; preparation of inspection and acceptance reports; and delivery of goods/supplies. The office is also tasked to implement objectives, rules and regulations pertaining to supply management; prepare and submit on time, periodic, annual reports and other required reports on property and supplies inventory; consolidate and submit annual procurement programs on supplies, materials and equipment; account and act as custodian of all office Property/equipment and supplies; and conduct periodic inventory thereof. It is headed by the Supply Officer who is responsible in the supervision and coordination of supply and property activities in the University.

Section 3, Article I, RA9184; Administrative Manual approved through BOR Res. No. 670 s. 2018


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8.1 List of Relevant Interested Parties

Interested Parties	Needs	Expectations
Faculty and Staff	<ul style="list-style-type: none"> Supplies, materials and equipment 	<ul style="list-style-type: none"> On time release or issuance Correct specification
Students Leaders	<ul style="list-style-type: none"> Supplies, materials and equipment 	<ul style="list-style-type: none"> On time release or issuance Correct specification
COA	<ul style="list-style-type: none"> Submission of reports required as per Government Accounting Manual 	<ul style="list-style-type: none"> On time submission of accurate reports as per GAM
Inspectorate Team	<ul style="list-style-type: none"> Convene the team to conduct inspection of delivered supplies and materials by the suppliers 	<ul style="list-style-type: none"> Immediate conduct of inspection
DBM/ CHED/ BOR	<ul style="list-style-type: none"> Report on physical count of property, plant and equipment (RPCPPE Form) 	<ul style="list-style-type: none"> On time submission of property, plant and equipment (RPCPPE Form)

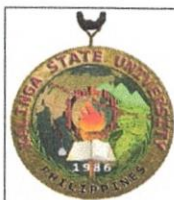
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8.2 Strength, Weaknesses, Opportunities and Threats (SWOT)

	STRENGTHS	WEAKNESSES/CHALLENGES
INTERNAL	<ul style="list-style-type: none"> The office is manned by competent and committed staff Staff has undergone supply management training Updated record of inventories of equipment Upgrading of office and facilities 	<ul style="list-style-type: none"> Inadequate office storage for supplies and materials Delayed disposal of waste materials Delayed distribution of supplies and materials in Rizal campus due to unavailability of school vehicles and drivers. Unstreamlined duties and responsibilities between supply and procurement units
	OPPORTUNITIES	THREATS
EXTERNAL	<ul style="list-style-type: none"> Availability of trainings for staff on Supply and property management Proposal for promotion plan as per ROSSS 	<ul style="list-style-type: none"> Unavailable supplies from supplier causing the delay of supplies

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8.3 Risk Registry

	Process/Risk Description	Risk Causes & Consequences	Current controls	L	I	Risk Rating	Treatment	Responsible	Target Date	Target Risk Assessment-after treatment		
a	Process: Supply & Property Office Risk Description: Inadequate office storage for supplies and materials	Causes: No available stock room Consequences: Inadequate supplies stored for distribution to delivering units	<ul style="list-style-type: none"> Piecemeal delivery of supplies requested by delivering units 	5	3	15-High	<ul style="list-style-type: none"> Relocation of the existing stock room to the gymnasium upon completion 	Supply & Property Office	Jan. 2019	2	2	4- Low
	Process: Supply & Property Office Risk Description: Slow disposal of waste materials and waste materials	Causes: Change of required forms for disposal of equipment Consequences: Delayed disposal of unserviceable equipment and waste materials	<ul style="list-style-type: none"> Unserviceable equipment and waste materials are stocked at the dilapidated storage building 	4	2	8-Medium	<ul style="list-style-type: none"> Streamline the process of waste materials disposal system. 	Supply & Property Office	July 2019	3	1	3- Low

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Process: Supply & Property Office Risk Description: Delayed distribution of supplies and materials in Rizal campus due to unavailability of school vehicles and drivers.	Causes: Unavailability of vehicles and drivers Consequences: Delayed implementation of programs, projects and activities (PPA's)	▪ Scheduled delivery of supplies and materials	3	3	9-Medium	▪ Establishment of Supply office and procurement of delivery van for Rizal Campus	Supply & Property Office Procurement Administration	June 2019	2	1	2- Low
Process: Supply & Property Office Risk Description: Unclear delineation of duties and responsibilities between supply and procurement units	Causes: Implementation of the old practice and setup Consequences: Reports are not properly attended to.	▪ Multitasking of Supply personnel	4	3	12-High	▪ Streamlining of duties and responsibilities at the supply and property office	Supply & Property Office	Dec. 2019	3	1	3- Low

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8.4 Opportunity Registry

Opportunity Statement (include benefit once opportunity is encountered)	L	I	Opportunity Rating	Opportunity Pursuit Action Plan (may refer to other planning documents)	Responsible	Target Date
Opportunity: Availability of trainings for staff on Supply and property management Benefits: <ul style="list-style-type: none"> Improved competence of supply and property staff and personnel 	5	4	20- High	<ul style="list-style-type: none"> Attend trainings and workshops for supply management 	<ul style="list-style-type: none"> HR 	January 2019
Opportunity: <ul style="list-style-type: none"> Proposal for promotion and recruitment plan as per ROSSS Benefits: Faster and more efficient supply management system	5	4	20- High	<ul style="list-style-type: none"> Conduct of follow up with PASUC and DBM 	<ul style="list-style-type: none"> HR 	March 2019

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8.5 Improvement Plan

Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To reduce waiting time of the delivery of supplies to end-users	No. of days of waiting time reduce	15 days	7 days	Coordinate with the procurement unit for the early procurement of needed supplies and materials	Supply Office	Jan 2019	Logbooks, submission of requests
To relocate existing office and stock room to the gymnasium upon completion	Adequate and spacious stock room	Limited floor area of existing stock room	Spacious floor area for stock room	Make a plan and timetable for the relocation of stock room	Supply Office	Jan 2019	Relocated stock room
To reduce the number of years in disposing unserviceable equipment and waste materials system.	No of years of processing reduced	10 years interval	5 years interval	Streamline the process of unserviceable equipment and waste materials disposal	Supply Office	Jan 2019	Logbook, IIRUP, Waste material report

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Objective	Key Performance Indicator	Baseline Data	Target	Action Plan	Responsible Unit	Completion Date	Monitoring Method
To identify the functions duties and responsibilities of supply and property personnel	Streamlined duties and responsibilities	50%	100% of all the duties and responsibilities are streamlined	Streamline the duties and responsibilities of supply and property personnel	Supply Office	March 2019	Submission of report on the streamlined process

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8.6 Reference Matrix

Process	Sub-Process	References	Responsible Person
Supply	<ul style="list-style-type: none"> ▪ Inspection and acceptance of equipment, Supplies and Materials ▪ Delivery of equipment, Supplies and Materials ▪ Inventory of Property ▪ Disposal/ Divestment of Property 	<ul style="list-style-type: none"> ▪ Administrative Manual ▪ Government Accounting Manual Volume 2 S. 2015 	<ul style="list-style-type: none"> ▪ Inspectorate team ▪ Supply Officer

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