



**DEPARTMENT OF BUDGET AND MANAGEMENT  
COMMISSION ON HIGHER EDUCATION  
JOINT CIRCULAR NO. \_\_\_\_\_, series of 2021  
Date: \_\_\_\_\_**

**TO : ALL HEADS OF STATE UNIVERSITIES AND COLLEGES  
CHED AND DBM REGIONAL OFFICE DIRECTORS**

**SUBJECT : GUIDELINES ON THE RECLASSIFICATION OF FACULTY  
POSITIONS IN STATE UNIVERSITIES AND COLLEGES (SUCs)**

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## **1. Background**

The National Budget Circular No. 461 (NBC 461) issued on 01 June 1998, provides the rules and regulations governing the implementation of the Revised Compensation and Position Classification Plan for Faculty Positions in State Universities and Colleges (SUCs), CHED-Supervised Higher Education Institutions (HEIs), and TESDA-Supervised Technical Education Institutions (TEIs) in accordance with the modified Common Criteria for Evaluation (CCE) of faculty positions. This has been the basis for the reclassification of faculty positions since the 1<sup>st</sup> cycle of implementation in 1998 until the 7<sup>th</sup> cycle in 2016.

Since the issuance of NBC 461 in 1998, there have been significant developments in the higher education sector. The institutionalization of the Philippine Qualifications Framework by virtue of RA 10968, provides a national standards and levels of qualifications to encourage lifelong learning and qualifications aligned with industry requirements; the impact of the ASEAN Integration 2015 to higher education sector in terms of the mobility of students and faculty; the internationalization of higher education programs; and the emergence of the 4<sup>th</sup> Industrial Revolution that brought about the digitalization in education.

These developments in higher education brought new demands on the competencies of faculty that necessitated enhancement of their qualifications. The hard work and perseverance of the faculty members in State Universities and Colleges for the enhancement of their qualifications must be compensated accordingly.

Moreover, the veto message of President Rodrigo Roa Duterte on FY 2019 General Appropriations Act (GAA), directed the CHED and DBM to review and revise the instrument and guidelines for the reclassification of faculty in state universities and colleges (SUCs) that will be implemented for the subsequent evaluation cycle.

In view of these developments in higher education sector and in compliance with the directive from the President, the criteria and guidelines for the faculty position reclassification in SUCs is being updated.

## 2. Purpose and Objectives

This Joint Circular is issued to establish and prescribe rules and regulations governing the implementation of the Guidelines on the Reclassification of Faculty Positions in State Universities and Colleges (SUCs).

This Joint Circular has the following objectives:

- 2.1. To have an updated and revised policies and guidelines for faculty reclassification across SUCs;
- 2.2. To serve as basis for policy decisions for faculty development in SUCs; and
- 2.3. To motivate a faculty to upgrade his/her rank and compensation by improving his/her academic qualifications, achievements and performance.

## 3. Coverage and Exemption

This Joint Circular shall apply to faculty positions in all SUCs except for the University of the Philippines System and the Mindanao State University System having its own faculty position reclassification guidelines as provided in their respective charters. These criteria and guidelines shall only be used for the reclassification of faculty positions in SUCs apart from the faculty promotion system as approved by the Civil Service Commission.

## 4. Guiding Principles

- 4.1. There must be a balance between the three main functions of instruction, research, and extension in the evaluation criteria.
- 4.2. Only the performance and accomplishments of the faculty within the specified period shall be considered in the evaluation, except those who are being evaluated for the first time or with a gap of one evaluation cycle.
- 4.3. There shall be no double counting of points. An item that has already been counted in one criteria can no longer be counted in another criteria.
- 4.4. The criteria shall consider both academic and administrative accomplishments/involvement of the faculty.
- 4.5. The respective governing boards of the SUCs shall have the final decision which and to what extent the faculty will be reclassified based on Republic Act (RA) 8292, also known as the "Higher Education Modernization Act of 1997."

## 5. Definition of Terms

- 5.1. **Adjunct Faculty** – is a recognized expert in a specific field from another HEI who is designated to teach or conduct research at a particular HEI on a part-time basis. The adjunct faculty arrangement must be supported by a Memorandum of Agreement (MOA) or its equivalent.
- 5.2. **Creative Work** - Includes but is not limited to literature, artwork, music, dance, drama, productions, architecture, and games and apps. [Institutional Sustainability Assessment Self-Evaluation Document, 2017]

- 5.3. **Designation** – movement that involves an imposition of additional and/or higher duties to be performed by a public official/employee which is temporary and can be terminated anytime at the pleasure of the appointing officer/authority. [2017 ORAOHRA, Revised 2018]
- 5.4. **Detail** – temporary movement of an employee from one department or agency to another which does not involve a reduction in rank, status or salary. [2017 ORAOHRA, Revised 2018]
- 5.5. **Extension** - refers to the act of communicating and transferring knowledge and technology to specific sectors and target clienteles (as distinguished from those enrolled in formal degree programs and course offerings) to enable them to effectively improve production, community and/or institutions, and quality of life, at the same time enhance the HEI's academic and research programs. It is a core function of an HEI which maybe in the form of a project, service, or program.
- 5.6. **Industrial Design** – focuses on the physical appearance, functionality and manufacturability of a product. An industrial design application is an application for a patent to protect against the unauthorized use of new, original, and ornamental designs for items of manufacture [Intellectual Property Glossary of Terms, IPOPHL 2021].
- 5.7. **Innovation** – refers to a new method, idea, device, or product, which is replicable and applicable as a solution to a particular need. [Institutional Sustainability Assessment Self-Evaluation Document, 2017]
- 5.8. **Invention** – these are original works which are either patentable or non-patentable, which have direct contribution to knowledge, science, technology, and community.
- 5.9. **Invention Patent** – is government-issued grant, bestowing an exclusive right to an inventor over a product or process that provides any technical solution to a problem in any field of human activity which is new, inventive, and industrially applicable. [<https://www.ipophil.gov.ph/patent/>]
- 5.10. **Patent** – is an exclusive right that allows the inventor to exclude others from making, using, importing, or selling the product of his invention during the life of the patent. [Intellectual Property Glossary of Terms, IPOPHL 2021].
- 5.11. **Patentable Invention** - Patentable invention is any technical solution of a problem in any field of human activity which is new, involves an inventive step and is industrially applicable shall be patentable. It may be, or may relate to, a product, or process, or an improvement of any of the foregoing [Intellectual Property Glossary of Terms, IPOPHL 2021].
- 5.12. **Permanent Appointment** – an appointment issued to a person who meets all the qualifications requirements of the position to which he/she is being appointed to, including the appropriate eligibility, in accordance with the provisions of law, rules and standards promulgated in pursuance thereof [2017 ORAOHRA, Revised 2018].
- 5.13. **Promotion** – is the advancement of a career employee from one position to another with an increase in duties and responsibilities as authorized by law, and usually accompanied by an increase in salary [2017 ORAOHRA, Revised 2018].

- 5.14. **Reclassification** – is an advancement of a faculty position from one rank/sub-rank to another rank/sub-rank through an evaluation of the achievements and performance of faculty during a particular period of time using a standard set of criteria.
- 5.15. **Refereed Journal** – refers to journals that subject individual articles to independent peer review. The reviews are often blind, i.e., the names of the author and the reviewer are withheld. Conference presentations are generally not counted as publications unless the papers are published in refereed conference proceedings of the recognized professional society/organization [Institutional Sustainability Assessment Self-Evaluation Document, 2017].
- 5.16. **Textbook** – is book which is an exposition of generally accepted principles in one (1) subject, intended primarily as a basis for instruction in a classroom or pupil-book-teacher situation (Item b, Section 3 of RA 8047).
- 5.17. **Utility Model** – A utility model is any technical solution to a problem in any field of human activity which is new and industrially applicable. It may or may not have an inventive step [Intellectual Property Glossary of Terms, IPOPHL 2021].

## 6. Minimum Requirements for Reclassification

### 6.1. Minimum Requirements for Reclassification of Faculty

In order to qualify for reclassification, the faculty member should be a holder of a permanent faculty position with at least an earned master's degree in the area of specialization or its allied/related fields as prescribed in relevant CSC issuances.

### 6.2. Minimum Educational Qualifications per Faculty Rank

**Table 1. Minimum Educational Qualification**

Faculty Rank	Educational Qualification
Instructor (I-III)	Earned Master's degree
Assistant Professor (I-IV)	
Associate Professor (I-V)	
Professor (I-VI)	Earned Doctoral degree
College/University Professor	

## 7. Evaluation Criteria and Weights

**Table 2.1. Point System**

Key Result Areas	Pts	Maximum Pts
<b>1. Instruction</b>		100
a. Teaching Effectiveness	60	
b. Curriculum and/or Instructional Materials Development	30	
c. Thesis, Dissertation and Mentorship Services	10	
<b>2. Research, Innovation and/or Creative Work</b>		100
a. Research Outputs	100	
b. Inventions/Innovations	100	
c. Creative Works	100	
<b>3. Extension</b>		100
a. Service to the Institution	50	
b. Service to the Community	30	
c. Extension Involvement	20	

Key Result Areas	Pts	Maximum Pts
<b>4. Professional Development</b>		100
<b>*For New Entrants Only</b>		
a. Academic Experience	10	
b. Industry Experience	10	
<b>For All Faculty</b>		
a. Involvement in Professional Organizations	20	
b. Continuing Development	60	
c. Awards and Recognitions	20	

\*Applicable to newly appointed faculty members from private HEIs or industry who have not yet undergone the reclassification process.

**Table 2.2 KRA Weights per Faculty Rank**

Faculty Rank	Key Result Areas (KRAs)			
	Instruction	Research, Innovation &/or Creative Work	Extension	Professional Development
Instructor (I-III)	60%	10%	20%	10%
Asst. Professor (I-IV)	50%	20%	20%	10%
Assoc. Professor (I-V)	40%	30%	20%	10%
Professor (I-VI)	30%	40%	20%	10%
Col./Univ. Professor	20%	50%	20%	10%

7.1.1. The weights assigned per faculty are distributed along the four (4) Key Result Areas (KRAs) of Evaluation (Instruction; Research, Research, Innovation &/or Creative Work; Extension; and Professional Development).

7.1.2. All faculty are expected to produce outputs and achievements in all KRAs.

7.1.3. The weights assigned to each KRA vary from one faculty rank to another, depending on the functions that are expected of them. As the faculty rank advances, more research, innovation, and creative work outputs are expected. For instance, faculty occupying Instructor positions are expected to display exemplary performance in the area of instruction. However, this shall not prevent the them from doing research or extension. On the other hand, Professor positions are expected to produce more research, innovation and creative work but should not sacrifice the quality of instruction.

## 8. Determination of Ranks and Sub-ranks to be Awarded

**Table 3.1 Score Bracket and Corresponding Number of Sub-rank increment**

Score Bracket	No. of Sub-Rank
41-50	1 sub-rank
50-60	2 sub-ranks
61-70	3 sub-ranks
71-80	4 sub-ranks
81-90	5 sub-ranks
91-100	6 sub-ranks

8.1. Table 3.1 shows the number of sub-ranks that may be awarded based on the total score received by the faculty. The faculty may be awarded to a maximum of six (6) sub-ranks.

**Table 3.2 Faculty Positions in SUCs**

<b>Rank</b>	<b>Sub-rank</b>
INSTRUCTOR	Instructor I Instructor II Instructor III
ASSISTANT PROFESSOR	Assistant Professor I Assistant Professor II Assistant Professor III Assistant Professor IV
ASSOCIATE PROFESSOR	Associate Professor I Associate Professor II Associate Professor III Associate Professor IV Associate Professor V
PROFESSOR	Professor I Professor II Professor III Professor IV Professor V Professor VI
COLLEGE/UNIVERSITY PROFESSOR	

8.2. Table 3.2 specifies the different ranks of faculty from Instructor to Professor and its corresponding sub-ranks.

8.3. In cases wherein, the number of sub-ranks awarded to the faculty results in the crossing of ranks, e.g. from Instructor II to Assistant Professor III, a re-computation shall be conducted using the weights of the new rank following Section 7.2 of this Joint Circular. If after the re-computation the faculty qualifies to the next rank, the new rank shall be upheld. However, if the faculty did not qualify to the next rank, the highest sub-rank of the current rank shall be awarded.

8.4. If a faculty qualifies to a professor position but failed in the accreditation process, this faculty will be awarded the Associate Professor V position.

## **9. Reclassification to the Professor Rank**

9.1. Reclassification to the Professor Rank shall be subject to the following conditions applicable to faculty who qualify for the first time:

9.1.1. The faculty met the required number to sub-rank increase/s to reach the Professor rank specified in Section 8;

9.1.2. The faculty complied with the minimum educational qualifications of the Professor rank specified in Section 6.2.

9.1.3. The faculty passed the accreditation process of the Zonal Evaluation and Accreditation Committee (ZEAC) detailed in Annex III.

## **10. Reclassification to College/University Professor**

10.1. Reclassification to College/University Professor Rank shall be subject to the following conditions:



- 10.1.1. The faculty holds a Professor position.
- 10.1.2. The faculty met the required number of sub-rank increase/s to reach the College/University Professor rank.
- 10.1.3. The faculty passed the certification Process by the National Certification Committee detailed in Annex III.

## **11. Modified Quota System**

- 11.1. The quota for the rank of Professor shall be 20% of the total number of faculty positions of each SUC.
- 11.2. Only one (1) position of the College/University Professor per College/University shall be authorized for every cycle, provided that the total of which shall not exceed 5% of the total professor positions in a college or university.
- 11.3. The classification of existing College/University Professor position shall be coterminous with the incumbent.

## **12. Evaluation Period/Cycle**

The evaluation shall be undertaken every three (3) years.

## **13. Funding Source**

The expenses to be incurred by the Institutional Evaluation Committee (IEC), Regional Evaluation Committee (REC), Zonal Evaluation and Accreditation Committee (ZEAC), and National Certification Committee (NCC) during the evaluation process will be fully subsidized by the SUCs.

For faculty who will undergo the accreditation process for professor position or certification process for the college/university professor position, the expenses of the ZEAC/NCC will be subsidized by their institution. However, if the faculty does not pass for the first time and need to undergo another accreditation/certification process, the faculty shall shoulder the expenses for the ZEAC/NCC.

The funds needed to implement the reclassified positions of the faculty shall be charged against the authorized Personnel Services Allotment of the respective SUCs under the GAA.

## **14. Transitory Provision**

## **15. Repealing Clause**

All previous issuances pertaining to the criteria and guidelines for the reclassification of faculty positions in state universities and colleges that are inconsistent with the provisions in this joint circular are deemed repealed, amended or modified accordingly.

## **16. Effectivity**

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

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OIC-Secretary, DBM

**J. PROSPERO E. DE VERA III**  
Chairman, CHED

**DRAFT**