

# UP Policy on Procurement of IT Services, Equipment, and Software (ITSES)

## 1. Introduction

### 1.1. Rationale

- 1.1.1. Republic Act No. 9500 (or the University of the Philippines Charter), Section 3, states that the University of the Philippines is to "perform its unique and distinctive leadership in higher education and development" with enumerated missions with different aspects of leading, serving, promoting, and protecting the purposes of higher learning institutions for the search of truth and knowledge and development of future leaders.
- 1.1.2. The University requires information technology services, equipment, and software (ITSES) for its operations and to fulfill its role as the national university.
- 1.1.3. The University, being part of the government procurement process, must follow existing procurement laws, rules, and regulations, especially Republic Act No. 12009 (also known as the New Government Procurement Act or NGPA) and its latest approved corresponding Implementing Rules and Regulations (IRR).
- 1.1.4. In government procurement, providing specifications that facilitate competitive bidding and evaluating the total cost of ownership are key to achieving value for money.
- 1.1.5. Section 6 of RA 9500 stipulates that the University "exclusively determine[s] its teaching, research and extension thrusts, plans, policies, programs and standards."
- 1.1.6. In the absence of a unified policy of the University regarding the procurement of information technology services, equipment, and software (ITSES), a policy must be issued that codifies rational and practical considerations of procurement principles for ITSES across its constituent units.

## 1.2. Scope and Objectives

1.2.1. This Policy aims to accomplish the following:

- (a) Ensure proper, efficient, and effective procurement of ITSES throughout their entire lifecycle.
- (b) Maximize the value for money of ITSES in the operations of the University.
- (c) Establish a framework that balances the need for standardization with the flexibility required to adapt to rapid technological changes.
- (d) Promote responsible and sustainable IT Procurement practices that align with the University's environmental and social commitments.
- (e) Foster innovation in the University's IT infrastructure while maintaining robust accountability measures.

1.2.2. This Policy applies to all ITSES Procurement procedures across the University.

1.2.3. This Policy supplements other procurement policies and should be read in conjunction with these policies. In case of any conflict, this policy shall prevail for ITSES Procurement.

1.2.4. The scope of this Policy extends to:

- (a) All stages of the ITSES Procurement lifecycle, including planning, acquisition, implementation, payment, maintenance, and disposal.
- (b) Both routine and specialized ITSES Procurements, including emerging technologies.
- (c) Procurement of ITSES regardless of monetary value, recognizing that even small-scale procurements can have significant impacts on the University's overall IT ecosystem.

1.2.5. This Policy aims to achieve a balance between the following:

- (a) Standardization of procurement processes and flexibility to address unique technological needs.
- (b) Cost-effectiveness and the need for high-quality, future-ready ITSES solutions.
- (c) Rapid adoption of beneficial new technologies and thorough vetting to ensure security, compatibility, and value.
- (d) Ensure throughout procurement the adherence to ethical standards, the promotion of the local economy, environmental sustainability, and inclusivity for marginalized and vulnerable groups.

## 1.3. Policy Intent for Academic and Research Functions

- 1.3.1. This policy is designed to facilitate and support the University's core functions of teaching, research, and service. It aims to streamline the procurement process for ITSES that are crucial for academic and research activities.
- 1.3.2. While ensuring accountability and value for money, this policy is not intended to create bureaucratic barriers. Instead, it seeks to:
  - (a) Expedite the acquisition of necessary ITSES for time-sensitive research projects.
  - (b) Provide flexibility in procurement options to meet the diverse and often specialized needs of different academic disciplines.
  - (c) Help ensure that researchers have access to state-of-the-art technology and services required for cutting-edge research.
  - (d) Support innovative teaching methods by facilitating the procurement of modern educational technologies.
  - (e) Implement a tiered approval system for academic ITSES procurement to balance flexibility with appropriate oversight ([Appendix 10](#)).
- 1.3.3. The University recognizes that research and academic needs can be unique and time-sensitive. This policy therefore includes provisions for expedited processes and specialized evaluations for ITSES directly related to academic, research, and teaching activities ([Appendix 9](#)).
- 1.3.4. Academic staff and researchers are encouraged to engage early with the ITDC and Procurement Office to ensure their ITSES needs are understood and can be met efficiently within the framework of this policy.

## 1.4. Guiding Principles

- 1.4.1. *Value for Money.* The University is committed to achieving optimal value for money in all ITSES Procurements. This principle shall guide decision-making throughout the procurement process, from planning to execution and evaluation. Value for money considers the total cost of ownership, alignment with objectives, and long-term institutional benefits.
- 1.4.2. *Flexibility and Adaptability.* While maintaining necessary controls, this policy recognizes the need for flexibility in ITSES Procurement to address the rapidly changing technology landscapes and the unique institutional needs of the University. The University will strive to balance standardization with adaptability to ensure optimal outcomes.
- 1.4.3. *Local, Sustainable, and Inclusive Procurement.* The University shall adopt a Green Public Procurement Strategy in the procurement planning process (pursuant to

Article XII of the NGPA), give priority and preference to Philippine products and services to foster the local economy as required under relevant national laws (e.g., Republic Act No. 11981 or “Tatak Pinoy (Proudly Pinoy) Act”) and support vulnerable and marginalized sectors (pursuant to Section 75 of the NGPA).

- 1.4.4. *Alignment with Institutional Goals.* Procurement of ITSES must align with the University’s strategic priorities, including education, research, administration, and innovation. Each procurement must be guided by the fit-for-purpose approach ensuring that the University fulfills its objective with the procurement of each item. The Procurement teams shall work closely with academic departments, research centers, and administrative units to acquire ITSES and contribute to the University’s mission. By regularly assessing the procured IT resources, the University ensures the advancement of the institution’s short-term and long-term goals, including its commitment to academic excellence.

## 1.5. Definition of Terms

For purposes of this Policy, the following terms are defined:

- 1.5.1. **Bid** — a formal offer or proposal submitted by suppliers, distributors, contractors, or service providers to perform a contract for work, labor, or supplying materials at an agreed-upon price.
- 1.5.2. **Blacklisting** — the process of disallowing suppliers, contractors, or consultants from participating in future procurement activities due to violations or poor performance.
- 1.5.3. **Change management** — the process of managing changes to ITSES within the organization to minimize disruption and ensure smooth transitions.
- 1.5.4. **Commissioning** — the process of verifying that newly installed ITSES meet the required specifications and are ready for use.
- 1.5.5. **Competitive bidding** — a procurement method where all interested suppliers or contractors are invited to submit bids, and the contract is awarded to the lowest or most advantageous offer.
- 1.5.6. **Data sanitization** — the process of irreversibly destroying, erasing, and deleting data from a storage device (e.g. hard drives, mobile devices), rendering the data irretrievable.
- 1.5.7. **Decommissioning** — the process of safely retiring and removing ITSES from service, including proper disposal or repurposing of equipment.
- 1.5.8. **Estimated Useful Life (EUL)** — the projected time frame during which an IT asset (such as servers, laptops, networking devices) is expected to function efficiently and

effectively before requiring replacement due to obsolescence, degraded performance, or increased maintenance cost ([Appendix 7](#))

- 1.5.9. **E-waste** – waste generated from unserviceable IT equipment and used electronic devices contains hazardous materials and hence is required to be disposed of in an ecologically and environmentally responsible manner.
- 1.5.10. **Information Technology Services, Equipments, and Software (ITSES)** – any IT-related software, hardware, and services that are procured for use within the University, or otherwise procured by the University.
- 1.5.11. **Lifecycle Cost** – the total cost incurred throughout an asset’s lifespan, including acquisition, operation, maintenance, and disposal.
- 1.5.12. **Lowest Calculated Responsive Bid (LCRB)** – the bid with the lowest calculated price that meets all the requirements set by the procuring entity such as but not limited to the technical specifications, project requirements, and quality standards; used as a criterion for awarding contracts.
- 1.5.13. **Most Economically Advantageous Responsive Bid (MEARB)** – a method of evaluating bids that considers both quality and cost to determine the best value for money.
- 1.5.14. **New Government Procurement Act (NGPA)** – the Philippine law that governs procurement activities in the Philippines, also known as Republic Act No. 12009. It includes its latest Implementing Rules and Regulations (IRR).
- 1.5.15. **Philippine Government Electronic Procurement System (PhilGEPS)** – the official electronic procurement platform for the Philippine government, used for posting procurement opportunities, bid submissions, and other procurement-related activities.
- 1.5.16. **Prescribed Use Case Minimum Specifications (PUCMS)** – the baseline technical specifications established for ITSES based on typical use cases within the University.
- 1.5.17. **Registry of Use Case (RUC)** – a document containing various ITSES use cases of the University and their corresponding Prescribed Use Case Minimum Specifications (PUCMS).
- 1.5.18. **Repeat order** – a procurement method allowing the procuring entity to place additional orders with a supplier under the same terms as a previous contract.
- 1.5.19. **Technical Working Group (TWG)** –
- 1.5.20. **Total Cost of Ownership (TCO)** – an estimate from a comprehensive analysis that includes the direct and indirect costs of owning an asset during its active use, such as purchase, installation, maintenance, and operational cost.

- 1.5.21. **Value for money** – the optimal combination of overall benefits derived from a procurement activity, considering factors such as quality, cost, and sustainability.

## 2. Governance and Approval Process

### 2.1. Roles and Responsibilities in ITSES Procurement

This section **provides an overview** of the key roles and responsibilities critical to the implementation of this policy. For a comprehensive review of the roles and specific tasks, refer to the table in [Appendix 6](#).

### 2.2. Approval of Purchase Requests for ITSES

The approval of purchase requests shall follow a structured process to ensure alignment with University needs and policies. For detailed criteria and procedures, refer to [Appendix 10](#) and [Appendix 11](#)

### 2.3. Market Availability and Supply Chain Considerations

- 2.3.1. The Procurement Office, in collaboration with the ITDC, shall regularly monitor market conditions and supply chain dynamics for ITSES to anticipate potential shortage issues.

Detailed procedures for handling market shortages and supply chain issues are outlined in [Appendix 12](#).

### 2.4. Conflict of Interest and Ethical Guidelines

- 2.4.1. To uphold the highest standards of ethical conduct in all ITSES-related activities, this Policy adheres to Sections 7c and 7d of the Code of Conduct and Ethical Standards for Public Officials and Employees or R.A. No. 6713.
- 2.4.1.1. All personnel involved in the ITSES procurement process are strictly prohibited from soliciting or accepting any form of personal gain or benefit, whether directly or indirectly. This prohibition extends to, but is not limited to:

- (a) Gifts
- (b) Gratuities
- (c) Favors
- (d) Entertainment
- (e) Loans
- (f) Junket Trips
- (g) Wining and Dining

2.4.1.2. Misuse of confidential information including proprietary bid and proposal information, and other information obtained through their position and not made available to the public, is forbidden for all staff involved in the procurement process.

2.4.1.3. This Policy applies to any transaction, operation, or function that may influence the ability to make unbiased decisions or impair their ability to perform their job responsibilities in the best interests of the University.

2.4.2. In compliance with Section 82 of the New Government Procurement Act, all vendors participating in University procurement projects must provide a declaration of their ultimate beneficial ownership. This declaration must identify all natural persons who ultimately own or control the vendor entity, either directly or indirectly, including those with significant influence or control.

2.4.2.1. The declaration should include full names, nationalities, countries of residence, and the nature and extent of ownership or control for each beneficial owner. Vendors must ensure the accuracy and completeness of this information, promptly update it if changes occur, and understand that failure to comply may result in disqualification or contract termination.

2.4.2.2. This requirement applies to all procurement activities, regardless of value or type, and serves to enhance transparency, prevent conflicts of interest, and mitigate risks of collusion.

2.4.3. Detailed procedures for conflict of interest management and the whistleblower mechanism are provided in [Appendix 13](#).

## 3. Specifications and Evaluation

### 3.1. Setting and the Use of Specifications for ITSES

3.1.1. *Value for money in specifications.* When setting specifications for ITSES:

- 3.1.1.1. End-users and IT units shall consider how each specification contributes to the overall value for money, balancing performance requirements with cost implications.
- 3.1.1.2. Life-cycle costs, including maintenance, upgrades, disposal, and eventual replacement, shall be considered when setting specifications to ensure long-term value for money.
- 3.1.2. ITSES shall provide separate specifications for equipment and software.
- 3.1.3. In consultation with the IT Directors of CUs, the ITDC shall publish a Registry of Use Case (RUC) which includes a table providing the Prescribed Use Case Minimum Specifications (PUCMS) (detailed in [Section 3.4](#)).
- 3.1.4. Detailed specifications and procedures for ITSES are provided in [Appendix 14](#).

## 3.2. Specifications for ITSES Procurement by End-Users

- 3.2.1. The end users of all CUs shall refer to the Table of Prescribed Use Case Minimum Specifications (PUCMS) when specifying ITSES in their procurement plan or on their purchase requests.
- 3.2.2. A user requesting other specifications not conforming to the latest version of the Table of Prescribed Use Case Minimum Specifications (PUCMS) for their ITSES procurement request must provide a justification that the request would better uphold the University's standards for performance, functionality, and long-term value.

For detailed procedures and considerations, refer to [Appendix 14](#).

## 3.3. Registry of Use Case

- 3.3.1. Pursuant to Section 18 of the NGPA, a Registry of Use Case (RUC) shall serve as a guide for documenting, standardizing, and overseeing the deployment of ITSES within the University.
- 3.3.2. The adoption of RUC shall promote consistency, integrity, and efficiency by setting standards that comply with legal requirements and institutional policies. With that, it ensures that systems are chosen and managed according to the highest security standards, regularly evaluated, and improved as needed.
- 3.3.3. The RUC shall be duly published by the ITDC, wherein the manifold use cases and their corresponding Prescribed Use Case Minimum Specifications (PUCMS) detail

the requisite standards and protocols for the deployment and governance of ITSES within the University.

- 3.3.4. For detailed elements of the RUC, refer to [Appendix 15](#).

## 4. Procurement Process

### 4.1. Standardized Procurement Processes

To ensure consistency and efficiency in ITSES procurement, the following standardized processes shall be followed:

- 4.1.1. ITSES Purchase Request (PR) and Approval Process (See [Appendix 4](#))

The PR shall be prepared by the end user who shall be the unit or office that will use the item approved by the appropriate officer. Unless the procurement will be used across offices or CUs, the PR shall be prepared in coordination with ITDC.

- 4.1.2. Vendor Evaluation Process (See [Appendix 5](#))

### 4.2. Strategic Procurement Planning

- 4.2.1. The University shall undertake strategic procurement planning in accordance with Article II of the New Government Procurement Act, including:

- (a) Conducting market scoping;
- (b) Considering the use of framework agreements, pooled procurement, warehousing, and inventory management, whenever applicable;
- (c) Procurement via electronic means through the PhilGEPS; and
- (d) Other relevant planning and preparatory activities.

- 4.2.2. The Office of the Vice President for Development (OVPD) shall be responsible for the overall strategic procurement planning of ITSES including the conduct of Early Procurement Activities on eligible procurement projects.

- 4.2.3. Detailed strategic procurement planning procedures are outlined in [Appendix 16](#).

## 4.3. Total Cost of Ownership

- 4.3.1. Evaluation of offers may be based on either (1) the Lowest Calculated Responsive Bid (LCRB), or (2) the Most Economically Advantageous Responsive Bid (MEARB) ([Section 4.4.](#)) using a quality-price ratio, pursuant to Section 61 of the New Government Procurement Act.
- 4.3.2. Detailed TCO calculation procedures are provided in [Appendix 17](#).

## 4.4. Quality Criteria of the MEARB

Quality criteria for the MEARB shall be considered in the procurement process. For detailed criteria, refer to [Appendix 18](#).

## 4.5. Project and Hardware Evaluation Guidelines

- 4.5.1. To ensure a comprehensive evaluation of ITSES procurements, the University shall utilize for major procurements two specialized review frameworks in [Appendix 2](#) and [Appendix 3](#). The reviewers shall be used according to the financial thresholds and requirements specified in [Appendix 8](#) - ITSES Project Review Thresholds and Processes.

## 4.6. Performance Measurement and Reporting

- 4.6.1. The following key performance indicators (KPIs) shall be used to measure the effectiveness of ITSES procurement:
  - 4.6.1.1. Procurement cycle time
  - 4.6.1.2. Cost savings achieved (compared to market prices)
  - 4.6.1.3. User satisfaction with procured ITSES
  - 4.6.1.4. Percentage of procurements completed within budget
  - 4.6.1.5. Number of successful vendor protests
- 4.6.2. Detailed KPIs and reporting procedures are outlined in [Appendix 19](#).

## 4.7. Vendor Management

- 4.7.1. Vendor performance evaluations shall be conducted according to the requirements specified in [Appendix 8](#).
- 4.7.2. Evaluation criteria shall include:
  - 4.7.2.1. Adherence to delivery schedules
  - 4.7.2.2. Quality of products or services
  - 4.7.2.3. Responsiveness to Support Requests
  - 4.7.2.4. Affidavit confirming no relationships with key procurement officials and disclosing ultimate beneficial owners ([Section 2.6.2.](#))
  - 4.7.2.5. Compliance with Contract Terms
- 4.7.3. Detailed vendor management procedures are provided in [Appendix 20](#).

## 4.8. Risk Management in ITSES Procurement

Effective risk management is crucial for successful ITSES procurement and implementation. For a comprehensive overview of risk management in ITSES procurement, including assessment guidelines, roles and responsibilities, and reporting requirements, refer to [Appendix 21](#).

## 4.9. Disposal and Discontinuation

- 4.9.1. [Appendix 22](#) includes detailed procedures on end-of-life management, data removal protocols, and other guidelines. Compliance with these guidelines is essential for maintaining operational continuity, data security, and environmental responsibility.

# 5. Capacity Building and Policy Maintenance

## 5.1. Capacity Building and Training

- 5.1.1. The Procurement Office, the ITDC, and the Data Protection Office shall collaborate on implementing capacity-building programs to support the ITSES Procurement staff and stakeholders through education, training, seminars, and workshops.

- 5.1.2. [Appendix 23](#) outlines the training topics and capacity-building initiatives related to ITSES procurement. The appendix outlines annual training requirements, key subject areas, and collaborative efforts to enhance the skills and knowledge to support the stakeholders through education, training, seminars, and workshops.

## 5.2. Effectivity, Repealing, and Amending Clauses

- 5.2.1. This policy shall be reviewed periodically by a committee appointed by the President of the University.
- 5.2.2. Updates to the policy shall be made as necessary to reflect changes in technology, procurement practices, and relevant laws and regulations.
- 5.2.3. All stakeholders shall be notified of policy updates, and training shall be provided as needed.
- 5.2.4. The grounds for the suspension and blacklisting of erring bidders, contractors, and consultants shall be those enumerated in Article XXI of the New Government Procurement Act.
- 5.2.5. Upon the issuance of the Implementing Rules and Regulations (IRR) for the New Government Procurement Act, this policy shall undergo a comprehensive review and update to ensure terminology and processes are fully aligned with the new law and IRR. Provisions shall be updated, added, or removed as necessary to ensure compliance.
- 5.2.6. This policy shall take effect upon the approval of the Board of Regents.

## 5.3. Separability and Maintenance of Appendices

- 5.3.1. The appendices attached to this policy, including but not limited to the Prescribed Use Case Minimum Specifications (PUCMS) table ([Appendix 1](#)), the IT Hardware Procurement Review Instrument, and the IS Project Reviewer, are considered integral parts of this policy but are to be maintained and updated separately from the main policy document.
- 5.3.2. Updates, revisions, or amendments to any appendix may be made in accordance with the procedures outlined within each appendix, without necessitating a revision of the main policy document.
- 5.3.3. In the event that any appendix or portion thereof is declared invalid or unenforceable, the other appendices and the main policy shall remain in full force and effect.

- 5.3.4. The invalidity or unenforceability of any appendix shall not affect the validity or enforceability of the main policy document.
- 5.3.5. In case of any conflict between the main policy document and any appendix, the main policy document shall prevail unless explicitly stated otherwise in the appendix and approved by the appropriate university authority.
- 5.3.6. The ITDC shall maintain a current version of all appendices and ensure their availability to all relevant stakeholders.
- 5.3.7. Any reference to an appendix within this policy shall be construed as referring to the most current version of that appendix as maintained by the ITDC.
- 5.3.8. The ITDC shall regularly review and update the financial thresholds and review processes detailed in the appendices to ensure they remain relevant and effective. Any significant changes to these shall be reported to the University President.

# Appendices

## Appendix 1 - Prescribed Use-Case Minimum Specifications (PUCMS)

### 1. Prescribed Use-Case Minimum Specifications

- 1.1. The PUCMS for IT Hardware and Software Subscriptions serves as a baseline document that establishes the minimum acceptable standards for procurement in the University. These specifications define the threshold of quality, performance, and features that must be met or exceeded in all IT acquisitions, balancing the specific needs of offices and units with overall cost-effectiveness.
- 1.2. Departments may exceed these minimum specifications when justified by specific use cases or operational demands, but procurements shall not fall below these prescribed standards without explicit approval from the CU's IT Unit and/or the TWG.

### 2. PUCMS for IT Hardware

Use Case		Prescribed Minimum Specifications / Price Range
Standard Desktop	Office	<ul style="list-style-type: none"><li>• CPU: Intel Core i5 or AMD Ryzen 5 (latest generation)</li><li>• RAM: 16GB DDR4</li><li>• Storage: 512GB SSD</li><li>• Display: 21.5" FHD (1920x1080)</li><li>• OS: the latest stable version of an OS (excluding Windows Home)</li><li>• Connectivity: Gigabit Ethernet, Wi-Fi 6</li><li>• Price Range:</li></ul>
Fine Arts Laboratory Desktop		<ul style="list-style-type: none"><li>• CPU: Intel Core i5 or AMD Ryzen 5 (latest generation)</li><li>• RAM: 64GB</li><li>• Storage: 512GB SSD</li><li>• Display: 21.5" FHD (1920x1080)</li><li>• OS: the latest stable version of an OS (excluding Windows Home)</li></ul>

	<ul style="list-style-type: none"> <li>• Connectivity: Gigabit Ethernet, Wi-Fi 6</li> <li>• Price Range:</li> </ul>
Programming Laboratory Desktop	<ul style="list-style-type: none"> <li>• CPU: Intel Core i5 or AMD Ryzen 5 (latest generation)</li> <li>• RAM: 16GB DDR4</li> <li>• Storage: 512GB SSD</li> <li>• Display: 21.5" FHD (1920x1080)</li> <li>• OS: the latest stable version of an OS (excluding Windows Home)</li> <li>• Connectivity: Gigabit Ethernet, Wi-Fi 6</li> <li>• Price Range:</li> </ul>
High-Performance Workstation	<ul style="list-style-type: none"> <li>• CPU: Intel Core i7/i9 or AMD Ryzen 7/9 (latest generation)</li> <li>• RAM: 32GB DDR4</li> <li>• Storage: 512GB NVMe SSD + 1TB HDD</li> <li>• GPU: NVIDIA RTX 3060 or AMD equivalent</li> <li>• Display: 24" QHD (2560x1440)</li> <li>• OS: Windows 11 Pro, Linux</li> <li>• Price Range:</li> </ul>
Standard Laptop	<ul style="list-style-type: none"> <li>• CPU: Intel Core i5 or AMD Ryzen 5 (latest generation)</li> <li>• RAM: 16GB DDR4</li> <li>• Storage: 512GB SSD</li> <li>• Display: 14" FHD (1920x1080)</li> <li>• Battery: 8+ hours</li> <li>• Weight: Under 1.8 kg</li> <li>• OS: Windows 11 Pro, Linux</li> <li>• Price Range:</li> </ul>
Mac Laptops	
Closed-circuit television (CCTV)	

Thin Client	<ul style="list-style-type: none"> <li>• CPU: Intel Celeron or AMD equivalent</li> <li>• RAM: 4GB DDR4</li> <li>• Storage: 32GB eMMC</li> <li>• Display Support: FHD (1920x1080)</li> <li>• OS: Linux-based thin client OS</li> <li>• Price Range:</li> </ul>
File Server/NAS	<ul style="list-style-type: none"> <li>• CPU: Intel Xeon or AMD EPYC (latest generation)</li> <li>• RAM: 64GB ECC DDR4</li> <li>• Storage: 4x 4TB NAS-optimized HDDs in RAID configuration</li> <li>• Network: Dual Gigabit Ethernet</li> <li>• OS: Windows Server 2019 or the latest stable Linux server distribution</li> <li>• Price Range:</li> </ul>
Network Switch (Department Level)	<ul style="list-style-type: none"> <li>• 48 Gigabit Ethernet ports</li> <li>• 4 SFP+ uplink ports</li> <li>• Non-blocking architecture</li> <li>• Power over Ethernet (PoE+) on all ports</li> <li>• Layer 3 routing capabilities</li> <li>• Price Range:</li> </ul>
Wi-Fi Access Point	<ul style="list-style-type: none"> <li>• Dual-band (2.4GHz and 5GHz)</li> <li>• Wi-Fi 6 (802.11ax) compatible</li> <li>• MIMO technology</li> <li>• Gigabit Ethernet uplink</li> <li>• Power over Ethernet (PoE) support</li> <li>• Price Range:</li> </ul>
Multi-Function Printer	<ul style="list-style-type: none"> <li>• Print speed: 30 ppm (black), 25 ppm (color)</li> <li>• Resolution: 600 x 600 dpi &lt;br&gt; - Automatic duplex printing</li> <li>• 50-sheet Automatic Document Feeder</li> <li>• Network-ready (Ethernet and Wi-Fi)</li> <li>• Scan to email and network folder capabilities</li> </ul>

	<ul style="list-style-type: none"> <li>• Price Range:</li> </ul>
Small Printer	<ul style="list-style-type: none"> <li>• Width: maximum 17"</li> <li>• Depth: maximum 12"</li> <li>• Height: maximum 10"</li> <li>• Resolution: 600 x 600 dpi</li> <li>• 50-sheet Automatic Document Feeder</li> <li>• Network-ready (Ethernet and Wi-Fi)</li> <li>• Scan to email and network folder capabilities</li> <li>• Price Range:</li> </ul>
Scanners	<ul style="list-style-type: none"> <li>• Width:</li> <li>• Depth:</li> <li>• Height:</li> <li>• Resolution:</li> <li>• Price Range:</li> </ul>
Interactive Whiteboard	<ul style="list-style-type: none"> <li>• Display size: 65" or larger</li> <li>• Resolution: 4K UHD (3840x2160)</li> <li>• Touchpoints: 20 or more</li> <li>• Built-in Android system</li> <li>• Wi-Fi and Bluetooth connectivity</li> <li>• Front-facing speakers</li> <li>• Price Range:</li> </ul>
Video Conferencing System	<ul style="list-style-type: none"> <li>• Camera: 4K Ultra HD</li> <li>• Field of view: 120 degrees or wider</li> <li>• Pan-Tilt-Zoom capabilities</li> <li>• Built-in microphone array</li> <li>• Noise cancellation and echo reduction</li> <li>• Compatible with major conferencing platforms (Zoom, Teams, etc.)</li> <li>• Price Range:</li> </ul>

### 3. Prescribed Use Case Minimum Specifications (PUCMS) for Software Subscriptions

## 4. Maintenance and Update Provisions

- 4.1. *Periodic Review and Update*
- 4.2. These specifications shall be reviewed and updated annually at the minimum.
- 4.3. Additional reviews and updates may be conducted as technological advancements and university needs dictate.
- 4.4. *Responsible Office*
  - 4.4.1. The ITDC shall be responsible for maintaining and updating this Prescribed Use Case Minimum Specifications (PUCMS) table.
- 4.5. *Update Mechanism and Stakeholder Involvement*
  - 4.5.1. The ITDC shall:
    - (a) Conduct an annual review of the Prescribed Use Case Minimum Specifications (PUCMS) table, involving relevant stakeholders from Constituent Universities (CUs) and central IT units.
    - (b) Solicit feedback and suggestions from end-users and IT professionals across the university system.
    - (c) Research current market trends and technological advancements to inform updates.
    - (d) Draft proposed changes to the Prescribed Use Case Minimum Specifications (PUCMS) table based on the review, feedback, and research.
    - (e) Circulate the proposed changes to key stakeholders for comment and approval.
    - (f) Finalize and publish the updated Prescribed Use Case Minimum Specifications (PUCMS) table after incorporating stakeholder feedback.
  - 4.5.2. Any stakeholder may submit suggestions for updates to the Prescribed Use Case Minimum Specifications (PUCMS) table at any time to the ITDC.
  - 4.5.3. Emergency updates may be made outside the annual cycle if critical technological changes or university needs arise.
- 4.6. *Communication of Updates*
  - 4.6.1. The ITDC shall communicate all updates to the Prescribed Use Case Minimum Specifications (PUCMS) table to relevant parties across the university system within 14 days of finalization.
  - 4.6.2. Updated Prescribed Use Case Minimum Specifications (PUCMS) tables shall be made readily accessible to all university staff involved in IT procurement processes.
- 4.7. *Implementation of Updates*

- 4.7.1. New PUCMS shall take effect 30 days after publication unless otherwise specified.
- 4.7.2. Procurement processes already underway at the time of publication may continue to use the previous Prescribed Use Case Minimum Specifications (PUCMS), unless the update addresses critical security or compatibility issues.

## Appendix 2 - IT Hardware Procurement Review

When evaluating major IT hardware purchases and upgrades, it is essential to thoroughly vet all dimensions from planning to vendor selection before final approval. This IT hardware review checklist outlines key considerations across areas like requirements analysis, cost analysis, project governance, testing, and maintenance to enable a comprehensive, contextual review of infrastructure spending decisions.

**Disclaimer:** While these reviewers provide comprehensive checklists, they should be adapted to the specific context of each procurement or project. Not all items may be equally relevant in all cases.

*This document is updated and maintained by the ITDC.*

### How to Use This Checklist

The IT hardware review checklist covers important evaluation criteria to consider when assessing large equipment acquisitions and upgrades. Recognize that gear types are diverse; however, not all checklist questions may warrant equal emphasis or relevance depending on the category.

Consider the specific hardware attributes when determining priority review dimensions:

- For mission-critical infrastructure underlying top-priority systems, emphasize reliability, scalability, and support (Items 5, 7, 10, 11, 12).
- For experimental or speculative gear investments expected to carry higher risk, minimize the depth of initial vetting, and approve smaller pilot budgets.
- For expensive, long-lifecycle data center gear, prioritize planning, requirements, and architecture (Items 1, 3, 10, 12).
- For COTS hardware with vendor support contracts, focus more on supplier capabilities rather than internal skills (Items 4, 6, 11).

The key is adapting this checklist to align with gear-specific factors, not as a one-size-fits-all scorecard. Let the unique lifecycle, criticality, cost, and other characteristics guide where review scrutiny is most relevant. Pick the dimensions most applicable to inform each hardware category and decision.

## Checklist

### 1. **Alignment with Business Goals**

- 1.1. Does the hardware/gear support critical business systems and use cases?  
Prioritize if so.
- 1.2. Will it improve metrics like system uptime and performance efficiency?

### 2. **Cost-Benefit Analysis**

- 2.1. Have upfront and ongoing costs been analyzed and quantified?
- 2.2. Does the gear choice appropriately balance performance and value?
- 2.3. Has the bid lot been put together in a way that derives optimal value for the university?

### 3. **Requirements Definition** Are minimum hardware specifications clearly defined?

- ☐ Are “good to have” specs distinguished from mandatory requirements?
- ☐ Does the hardware support upcoming technological standards?

### 4. **Solution Evaluation**

- ☐ Has the evaluation of buying new versus reusing existing gear been performed?
- ☐ Have the pros/cons of top options been documented?

### 5. **In-house Capability Assessment**

- ☐ Have in-house skills to install, configure, and support hardware choices been vetted?
- ☐ Have hardware quality testing & security policies been examined?

### 6. **Vendor Assessment**

- ☐ For external hardware vendors, have service capabilities & SLAs been validated?
- ☐ As part of internal research and market survey, is an evaluation performed to set vendor selection criteria for features, service capabilities, and technology support needs?
- ☐ Does the vendor have a track record of providing long-term support and updates for their products?
- ☐ How does the vendor's reputation compare in terms of reliability and customer satisfaction?

7. **Risk Assessment**
- ☐ Have failure rate, redundancy, and DR considerations been incorporated into gear choice?
8. **Resource Allocation**
- ☐ Is budgeting appropriately tailored across hardware performance tiers?
9. **Project Planning, Management, and Governance**
- ☐ Are there project plans covering timelines, and budgets for gear purchase/deployment?
  - ☐ For the project team, are staffing, roles & responsibilities clearly defined?
  - ☐ Are estimates of power consumption requirements both current and projected included? Have projections for increased power drawn over time as utilization scales been analyzed?
10. **Testing, Training & Utilization**
- ☐ Have hardware testing & burn-in plans been created?
  - ☐ Is tech team training incorporated into rollout plans?
  - ☐ Is there a plan to continually assess and maximize gear utilization across the projected lifespan?
  - ☐ Have thresholds been set to trigger capacity upgrades as utilization inches toward the ceiling?
  - ☐ Are processes in place to regularly evaluate if current capacity matches business needs?
11. **Maintenance & Support**
- ☐ Are ongoing support contracts established per chosen hardware lifecycles?
  - ☐ Are maintenance best practices codified into an accessible knowledge base?
  - ☐ What is the expected timeframe before the gear becomes obsolete based on usage horizons?
  - ☐ Have hardware refresh and replacement cycles been established and aligned to zero book value milestones?
  - ☐ Is there a budget earmarked for next-generation upgrades timed with obsolescence risk projections?
12. **Scalability**
- ☐ Is the gear specced to match expected utilization growth projections?
  - ☐ How does the hardware fare in terms of scalability and adaptability to future technological changes?

**13. Utilization Data for Expansions/Upgrades**

- ☐ Has detailed utilization data for the past 30 days and year been provided?

This should include:

- a) CPU utilization (average and peak)
- b) GPU utilization (if applicable)
- c) Network transfer rates (inbound and outbound)
- d) Storage usage and growth rate
- e) User growth rate

- ☐ Have projections for the next 1-3 years been provided and justified based on this data?

- ☐ Does the proposed expansion/upgrade align with the utilization trends and projections?

## Appendix 3 - IS Project Review

This project review checklist represents a framework for comprehensively evaluating major information systems (IS) initiatives to streamline their submission, review, and approval processes; dimensions covered include planning, governance, costs, risks, architecture, and vendor fit. The checklist below is to be used by project proponents, developers, managers, evaluators, and reviewers alike to customize focus on areas most relevant based on a project's specific attributes like internal vs. external development approach, expected financials, and timeframes, system criticality, and available expertise.

**Disclaimer:** While these reviewers provide comprehensive checklists, they should be adapted to the specific context of each procurement or project. Not all items may be equally relevant in all cases.

*This document is updated and maintained by the ITDC.*

### How to Use This Checklist

The checklist covers a range of areas to review for thoroughness on any large-scale IS project proposal. Not all items may warrant equal attention, however. Consider emphasizing and prioritizing checklist items differently based on situational factors:

- For projects involving core business systems essential for operations, emphasize alignment, risk assessment, architecture, and testing (Items 1, 7, 12, 11, 10, 9). For more ancillary projects, deprioritize.
- For projects expected to have a near-term ROI, prioritize cost-benefit analysis and requirements (Items 2, 3). For longer-term strategic bets, reference but do not heavily scrutinize.
- For custom in-house development efforts, highlight readiness, code reviews, roadmaps, and learning (Items 5, 9, 10, 11). For COTS implementations or vendor packages, minimize.

Additionally, tailor and calibrate reviews based on IT resources available. If cash-strapped or constrained by the availability of technical staff, emphasize solution evaluation and vendor vetting (Items 4, 6). If there's sufficient in-house IT expertise, focus on architecture and scalability (Item 12).

The key is to adapt this checklist as a model for what review areas to emphasize, not as a dogmatic standard. Let the project goals, expected outcomes, internal vs external resourcing, system criticality, current strengths/weaknesses, and value drivers guide

where attention is most warranted. There is no one-size-fits-all formula, so use informed judgment based on total context.

## Checklist

### 1. Alignment with Business Goals

- ☐ Does the project align with business strategy and goals?
- ☐ Will it meet requirements to improve metrics like revenue, efficiency, and customer satisfaction?

### 2. Cost-Benefit Analysis

- ☐ Have costs and benefits been thoroughly estimated?
- ☐ Does analysis indicate positive ROI within a reasonably aggressive timeframe?
- ☐ Is the cost solely borne by the CU, or if by UPS, are the benefits shared across the System in a timely manner?

### 3. Requirements Definition

- ☐ Are requirements clearly defined at a level of depth appropriate for the intended development path?
- ☐ Are requirements prioritized into must-haves vs nice-to-haves?

### 4. Solution Evaluation

- ☐ Has a thorough evaluation of buy vs build options been performed based on in-house capability analysis and vendor market research?
- ☐ Has a detailed comparison of pros and cons been prepared to reflect the choice of development path?

### 5. In-House Readiness Assessment

- ☐ Have skill sets, staffing, tools, and processes been analyzed if pursuing in-house development?
- ☐ Have code quality, testing, and security practices been examined?

### 6. Vendor Assessment

- ☐ If external vendors are chosen, have vendor capabilities, proposals, and service levels been vetted to ensure fit?

### 7. Risk Assessment

- ☐ Has the risk management plan covered considerations for each development path option?

**8. Resource Allocation**

- ☐ Is budgeting tailored to resource needs conditional on the chosen development path?

**9. Project Planning, Management, and Governance**

- ☐ Do project plans include appropriate phases, timelines, and budgets?
- ☐ For the project leadership team, are staffing, roles, and responsibilities conflict-checked against potentially competing portfolios or opposing agendas?
- ☐ Do the change control, budget sign-off, and requirements approval processes have appropriate cross-checks so no single oversight entity can unilaterally demand changes for short-sighted interests?
- ☐ Are periodic project oversight reports reviewed for completeness and accuracy by an independent examiner without competing interest?

**10. Testing, Training, & Utilization**

- ☐ Are testing and training plans flexible to account for differences across development types and phases?
- ☐ Does the roll-out incorporate a tiered utilization plan that deliberately crosses key adoption thresholds before the next roll-out group transition?
- ☐ Are organizational *change management* and usage incentive planning integrated into utilization phase timelines?

**11. Maintenance & Support**

- ☐ Are ongoing maintenance plans established per the long-term needs of a given development choice?
- ☐ Are developers actively maintaining a wiki or similar knowledge base as part of the project documentation process to reflect organizational learning?
- ☐ Is there a development *roadmap* that takes into account the “end of life” of the underlying technologies used and the challenges it entails to the system’s maintainability?
- ☐ Does the project have a university-owned Git repository to store code and system architecture documentation?
- ☐ Does the project have a dedicated code maintainer after project rollout or completion? This person would be responsible for:
  - (a) Reviewing and incorporating new code changes
  - (b) Addressing bug fixes and feature requests
  - (c) Maintaining proper documentation
  - (d) Keeping dependencies and frameworks up-to-date
  - (e) Assisting new developers in understanding system architecture

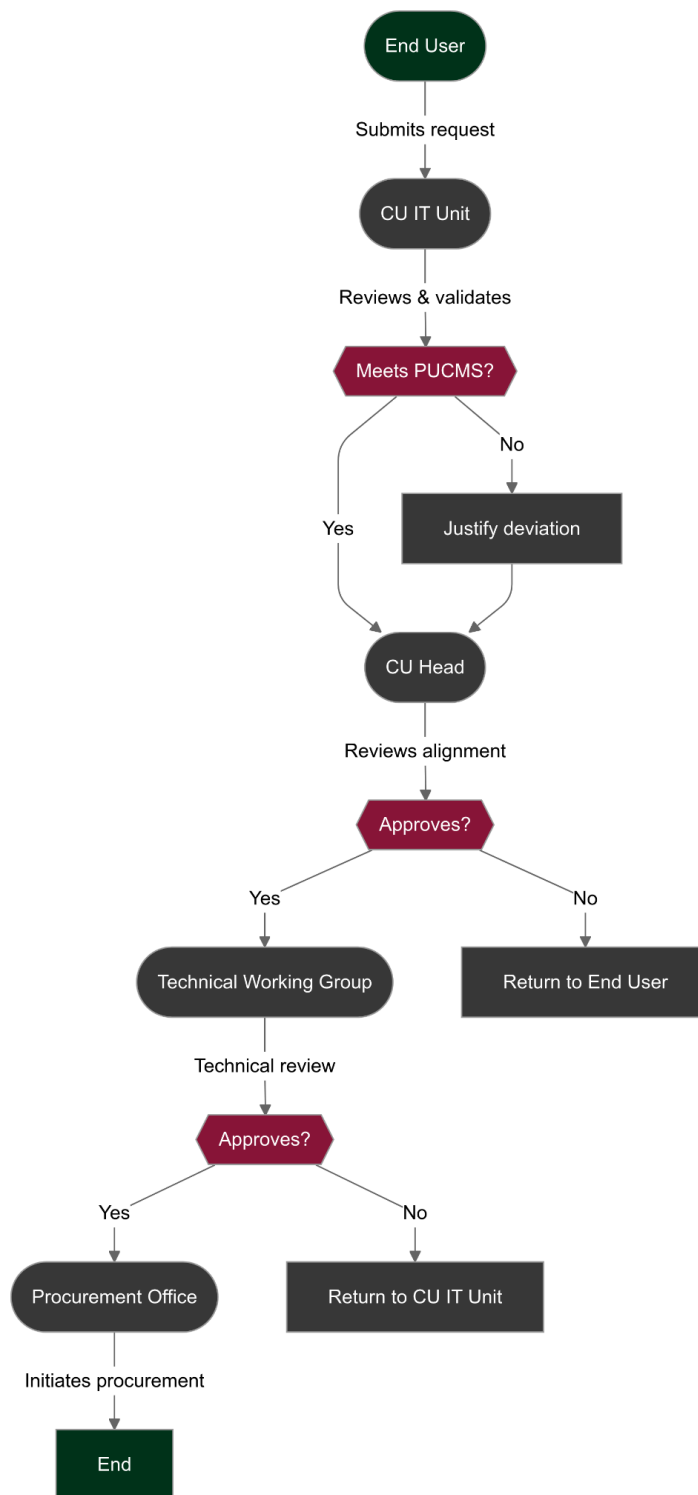
**12. Architecture & Scalability**

- ☐ Is the proposed architecture optimal for scalability needs based on the chosen platform and development path?

**13. Utilization Data for Expansions/Upgrades**

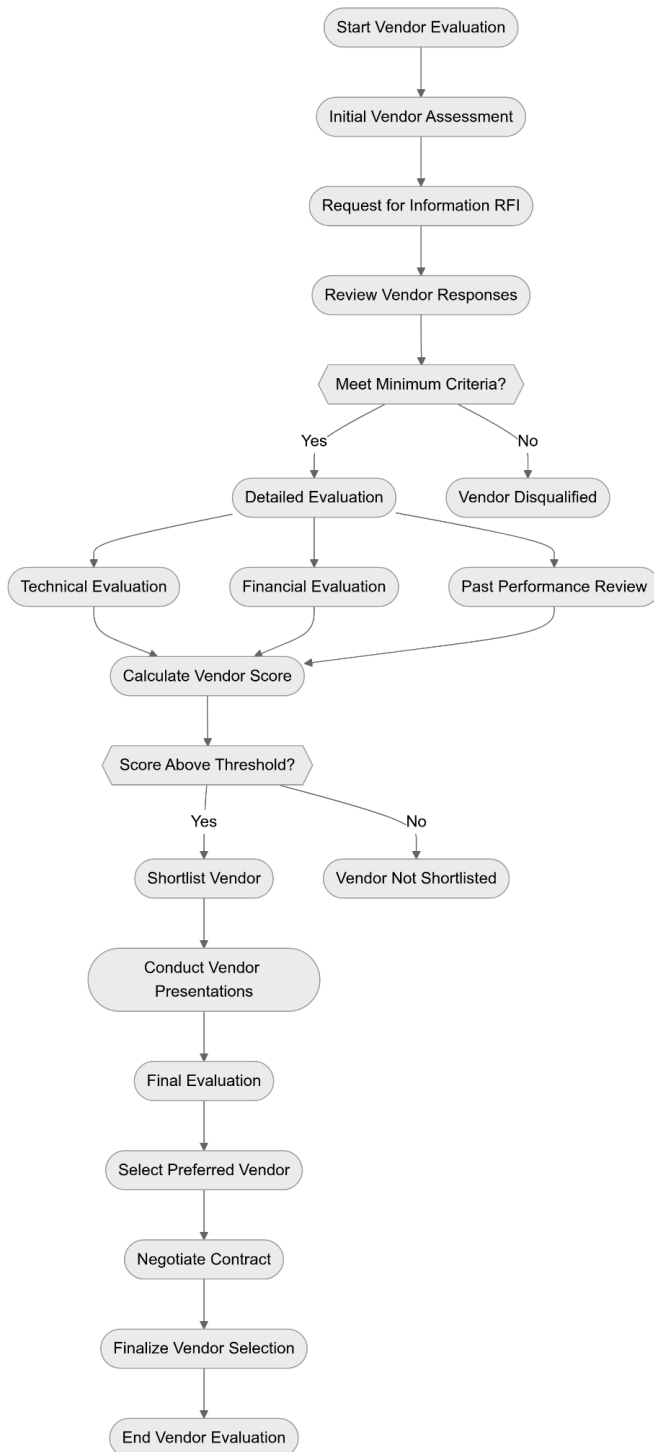
- ☐ For projects expanding or upgrading existing systems, has detailed utilization data been provided? This should include:
  - a) Current system load and performance metrics
  - b) User growth rate
  - c) Data volume growth
  - d) Any service-specific metrics relevant to capacity planning
- ☐ Have projections for the next 1-3 years been provided and justified based on this data?
- ☐ Does the proposed expansion/upgrade align with the utilization trends and projections?

## Appendix 4 - ITSES Purchase Request and Approval Process



## Appendix 5 - Vendor Evaluation Process

1. Conducting the Vendor Evaluation. The CU's IT unit or TWG is responsible for conducting a comprehensive and fair assessment of all potential vendors based on technical capabilities, financial stability, and past performance.
2. **Flowchart of Vendor Evaluation Process**



### 3. Vendor Evaluation Process

#### 3.1. The Vendor Evaluation Process is outlined as follows

- (a) **Start Vendor Evaluation:** Initiate the vendor evaluation process.
- (b) **Initial Vendor Assessment:** Perform a preliminary assessment of all potential vendors.
- (c) **Issue Request for Information (RFI):** Send an RFI to gather relevant information from vendors.
- (d) **Review Vendor Responses:** Evaluate the information provided by vendors in response to the RFI.
- (e) **Check if vendors meet minimum criteria:** Ensure that vendors meet the basic requirements to proceed with the evaluation.

**NOTE:** Only qualified vendors will proceed to the next step of detailed evaluation.

- (f) **Technical Evaluation:** Assess the vendors' technical capabilities.
- (g) **Financial Evaluation:** Evaluate the financial stability of the vendors.
- (h) **Past Performance Review:** Review the vendors' track record and past performance.
- (i) **Calculate Vendor Score:** Assign a score to each vendor based on the detailed evaluations.
- (j) **Check if the score is above the threshold:** Verify if vendors' scores meet or exceed the threshold for further consideration (refer to the IT Hardware and IS Project Reviewers).
- (k) **Shortlist qualified vendors:** Create a shortlist of vendors who meet the evaluation criteria.
- (l) **Conduct Vendor Presentations:** Allow shortlisted vendors to present their proposals or solutions.
- (m) **Perform Final Evaluation:** Conduct the final assessment based on the presentations and overall evaluation.
- (n) **Select Preferred Vendor:** Choose the vendor that best meets the evaluation criteria.
- (o) **Negotiate Contract:** Begin contract negotiations with the selected vendor.
- (p) **Finalize Vendor Selection:** Finalize the vendor selection based on the negotiation outcomes.
- (q) **End Vendor Evaluation:** Conclude the vendor evaluation process.

#### 3.2. Vendors that don't meet minimum criteria or score below the threshold are eliminated from the process.

### 4. The ITDC shall create and maintain a database of vendor management and evaluation to be shared across CUs. At the end of every ICT project, a project and vendor evaluation must be accomplished and included in the database.

## Appendix 6 – Roles and Responsibilities

Role	Responsibilities
University President	<ul style="list-style-type: none"> <li>• Final approval for university-wide ITSES Procurement and strategies</li> <li>• Appointment of committee for policy review</li> </ul>
Chancellor of Constituent University (CU)	<ul style="list-style-type: none"> <li>• Approval and rejection of ITSES purchase requests for their CU</li> <li>• Ensuring alignment with CU's IT plans and projections</li> </ul>
IT Development Center (ITDC)	<ul style="list-style-type: none"> <li>• Publishing and maintaining the Registry of Use Cases (RUC) and Prescribed Use Case Minimum Specifications (PUCMS)</li> <li>• Conducting market scoping and issuing advisory notices</li> <li>• Updating guidelines for emerging technologies</li> <li>• Organizing annual training sessions</li> <li>• Compile, maintain, and publish the following: <ul style="list-style-type: none"> <li>◦ KPI reports to measure the effectiveness of ITSES Procurement</li> <li>◦ Vendor and project evaluation database (<a href="#">Appendix 5</a>)</li> </ul> </li> <li>• All major decisions and recommendations made by the ITDC in relation to ITSES Procurement shall be subject to review and approval by appropriate oversight bodies as detailed in the main policy document.</li> </ul>
IT Unit of CU	<ul style="list-style-type: none"> <li>• Determining the validity of end-user justifications for brand-specific requests</li> <li>• Conducting security assessments and vendor evaluation of proposed ITSES</li> </ul>
Procurement Office	<ul style="list-style-type: none"> <li>• Collaborating with the ITDC on market monitoring, training, and capacity-building.</li> <li>• Executing procurement processes in compliance with this policy and relevant laws</li> </ul>

Bids and Awards Committee (BAC)	<ul style="list-style-type: none"> <li>• Conducting the bidding process</li> <li>• Evaluating bids based on Total Cost of Ownership and other criteria specified in this policy</li> </ul>
End Users	<ul style="list-style-type: none"> <li>• Specifying ITSES requirements using the Prescribed Use Case Minimum Specifications (PUCMS)</li> <li>• Providing justification for specifications outside the Prescribed Use Case Minimum Specifications (PUCMS).</li> </ul>
Technical Working Group (TWG)	<ul style="list-style-type: none"> <li>• Reviewing and approving ITSES specifications in purchase requests</li> <li>• Ensuring compliance with policy guidelines on specifications</li> <li>• The Procurement Office and/or the IT Office of the CU shall, in their capacity, help form a TWG with members who have been actively engaged in the CU's IT operations and possess demonstrable knowledge and expertise in the field.</li> </ul>

Roles and responsibilities will be reviewed annually or when significant changes in the policy or organizational structure occur.

# Appendix 7 - Estimated Useful Life of IT Equipment

For purposes of procurement and management planning and management, the estimated useful life of various IT equipment is as follows.

## A. COMPUTING DEVICES

	Years
Desktop Computers	3
Laptops	4
Servers	2
Smartphones	2

## B. NETWORKING EQUIPMENT

	Years
Network Switches	6
Routers	5

## C. PERIPHERALS AND OUTPUT DEVICES

	Years
Monitor	5
Printers	4
Projectors	5
Scanners	4

## D. POWER AND STORAGE

	Years
External Hard Drives	4
Network-Attached Storage (NAS)	5
Uninterruptible Power Supplies (UPS)	4

## E. COMMUNICATION DEVICES

	Years
VoIP Phones	5

Having an Estimated Useful Life can help the University in the following:

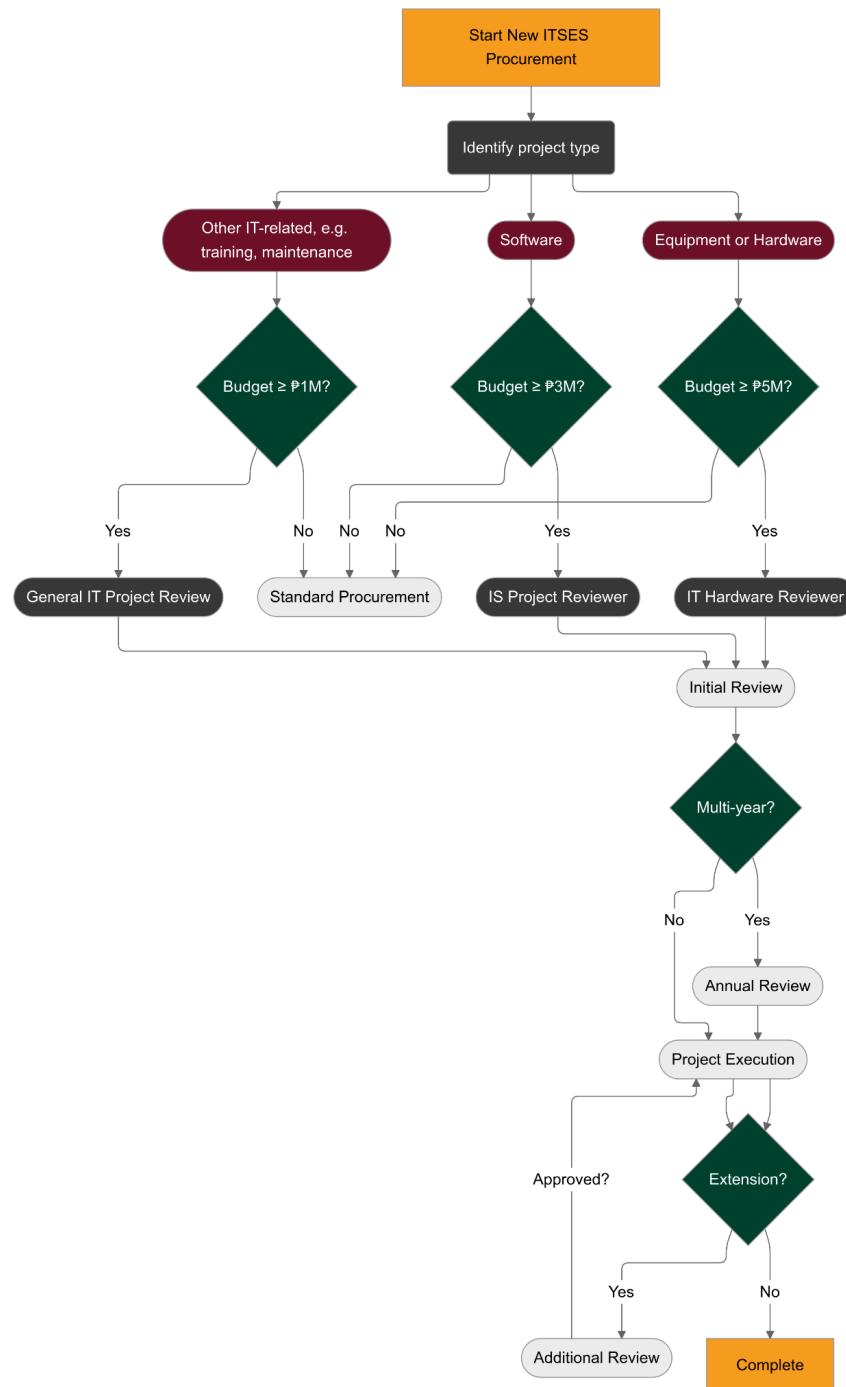
- (a) *Budget Allocation.* Effectively allocate funds by category.
- (b) *Procurement Planning.* Allow for bulk purchases within categories.
- (c) *Maintenance Scheduling.* Identify similar types of equipment that share similar maintenance needs.
- (d) *Asset Management.* Facilitate easier tracking and replacement planning for groups of similar items.
- (e) *Training.* As part of capacity-building, end-users (including staff) can be trained on maintenance and use of equipment by category.

## Appendix 8 - ITSES Project Review Thresholds and Processes

### 1. Review Thresholds

- 1.1. Hardware Procurement: ₱5 million and above
- 1.2. Software Projects: ₱3 million and above
- 1.3. Other IT Services and Projects: ₱1 million and above

### 2. Flowchart of the Review Process



### 3. **Review Processes**

- 3.1. For projects meeting or exceeding the thresholds in [1.1](#) and [1.2](#), use the full IT Hardware Procurement Reviewer or IS Project Reviewer as appropriate.
  - 3.1.1. Hardware Procurements: For procurements equal to or exceeding five million pesos (₱5,000,000.00), the IT Hardware Procurement Reviewer shall be completed as part of the procurement process.
  - 3.1.2. Information Software Projects: For projects with an estimated budget equal to or exceeding three million pesos (₱3,000,000.00), the IS Project Reviewer shall be completed as part of the project approval process.
- 3.2. For projects meeting or exceeding the threshold in [1.3](#), use a simplified General IT Project Review process.
  - 3.2.1. Other IT-related Services and Projects: For services (including but not limited to consulting, training, and maintenance contracts) and other IT-related projects not explicitly covered by Points 1 or 2, with an estimated budget equal to or exceeding one million pesos (₱1,000,000.00), a General IT Project Review shall be conducted. This review shall evaluate the project's appropriateness, necessity, and alignment with the university's operational and strategic objectives, using a scaled-down version of the IS Project Reviewer.
- 3.3. For hybrid projects involving both hardware and software, apply the review process corresponding to the highest applicable threshold.

### 4. **Reviewing Project Proposals**

- 4.1. Initial review at the project proposal stage
- 4.2. Annual review for multi-year projects
- 4.3. Additional review before any project extension

### 5. **Expansion and Upgrade Requirements**

- 5.1. For any ITSES procurement request related to the expansion or upgrade of existing services, regardless of the financial threshold, the following utilization data for the last 30 days and the last year must be submitted:
  - (a) CPU utilization (average and peak)
  - (b) GPU utilization (if applicable)
  - (c) Network transfer rates (inbound and outbound)
  - (d) Storage usage and growth rate
  - (e) User growth rate
  - (f) Any other relevant metrics specific to the service
- 5.2. This data should be accompanied by projections for the next 1-3 years, justifying the need for expansion or upgrade.
- 5.3. For projects meeting the thresholds in [Sections 1.1](#), [1.2](#), and [1.3](#) of this Appendix, this utilization data and projection should be included in the respective review processes.
- 5.4. The ITDC shall provide guidelines for collecting and presenting this data in a standardized format to facilitate comparison and analysis.

- 5.5. Procurements for expansion or upgrades that cannot provide this historical data must provide a detailed justification for the inability to do so and may be subject to additional scrutiny.
- 6. **Threshold Adjustment**
  - 6.1. ITDC to review thresholds biennially
  - 6.2. Adjust based on inflation, IT market changes, and University budget considerations.
  - 6.3. Proposed adjustments to be approved by the University President
- 7. **Vendor Evaluation**
  - 7.1. The annual vendor performance evaluation shall be conducted for all ITSES procurement contracts equal to or over two million pesos (₱2,000,000.00) to guarantee competence and quality throughout the contract period.
  - 7.2. The evaluation shall use the process outlined in [Appendix 5](#).
  - 7.3. This evaluation shall be conducted for all major ITSES procurement requests equal to or over two million pesos (₱2,000,000.00).
- 8. **Conflict of Interest Disclosure**
  - 8.1. Annual disclosure required for personnel involved in ITSES projects greater than five million pesos (₱5,000,000.00).

## Appendix 9 - Fast-Track Procurement Process for Research Projects

### 1. **Purpose**

This process aims to expedite ITSES procurement for time-sensitive research projects, supporting the University's commitment to facilitating cutting-edge research.

### 2. **Eligibility**

2.1. Research projects with external funding or critical deadlines

2.2. ITSES procurement under ₱1 million

### 3. **Process**

3.1. Researcher submits expedited request form to CU IT Unit

3.2. CU IT Unit reviews within 3 business days

3.3. If approved, the procurement process initiated within 5 business days

3.4. Simplified vendor selection process (e.g., limited to 3 pre-approved vendors)

3.5. Procurement completed within 30 days of the initial request

### 4. **Oversight**

4.1. Quarterly report of fast-track procurements to ITDC

4.2. Annual audit to ensure process integrity

### 5. **Limitations**

5.1. Maximum of 20% of total ITSES procurement budget per CU

5.2. Not applicable for items requiring extensive security review

### 6. **Review and Update**

This process shall be reviewed annually by the ITDC and updated as necessary to ensure it continues to meet the needs of the research community while maintaining procurement integrity.

# Appendix 10 - Tiered Approval System for Academic ITSES

## 1. Purpose

This system aims to provide a flexible yet structured approach to approving academic ITSES procurements, ensuring appropriate oversight while facilitating timely acquisitions for teaching and research needs.

## 2. Tier Structure

### 2.1. Tier 1 (Low Impact)

2.1.1. ITSES under ₱500,000

2.1.2. Approval required: Department Head and CU IT Unit

2.1.3. Processing time: 5 business days

### 2.2. Tier 2 (Medium Impact)

2.2.1. ITSES ₱500,000 - ₱2 million

2.2.2. Approval required: Dean, CU IT Unit, and Chancellor

2.2.3. Processing time: 10 business days

### 2.3. Tier 3 (High Impact)

2.3.1. ITSES over ₱2 million

2.3.2. Approval required: Chancellor, ITDC, and University President

2.3.3. Processing time: 20 business days

## 3. Criteria for Academic Impact Assessment

3.1. Number of courses/students affected

3.2. Potential for research output

3.3. Alignment with university strategic goals

3.4. Innovation in teaching or research methodologies

## 4. Process

4.1. Requester submits ITSES procurement request with academic impact assessment.

4.2. CU IT Unit determines the appropriate tier based on cost and impact assessment.

4.3. Request routed to appropriate approvers based on tier

4.4. Approvers review and provide a decision within the specified processing time

4.5. If approved, the procurement process initiated

## 5. Exceptions

5.1. The fast-track process for eligible research projects (see [Appendix 9](#)) takes precedence over this tiered system.

- 5.2. ITDC may elevate any request to a higher tier if deemed necessary based on technical complexity or strategic importance

6. **Reporting and Review**

- 6.1. Quarterly report on academic ITSES procurements by tier to be submitted to ITDC
- 6.2. Annual review of tier thresholds and approval requirements by ITDC, with adjustments made as necessary

7. **Review and Update**

This system shall be reviewed annually by the ITDC in consultation with academic stakeholders and updated as necessary to ensure it continues to meet the needs of the academic community while maintaining procurement integrity.

# Appendix 11 - Approval Process for ITSES Purchase Requests

The approval of purchase requests shall involve the following:

1. *Chancellor of CU.* The Chancellor of the CU will base the approval of purchase requests on the following criteria:
  - 1.1. The ITSES requested to be purchased is aligned or would serve the purpose of the CU that needs the ITSES.
  - 1.2. This ITSES conforms to the long-term and overall IT plans and projections duly issued by the appropriate office of the CU.
  - 1.3. The delivery date specified in the purchase request addresses the duration between the acquisition and procurement process.
  - 1.4. For stand-alone software that has an equivalent in bundled workspaces that are currently used (e.g., purchasing Zoom when Google Workspace includes Google Meet), the justification to purchase has merit.
  - 1.5. For ITSES with specifications other than those from the RUC, the justification to purchase it instead of ITSES with specifications following the RUC has merit ([Section 3.4](#)).
2. *Technical assessment.* The TWG will ensure or perform the following before approving a request:
  - 2.1. Ensure that the specifications for the ITSES in the purchase request comply with the specific policy on setting specifications ([Section 3.1](#)) or otherwise are justified to be purchased instead of ITSES that follows the RUC.
  - 2.2. Provide the required additional ITSES specifications in the purchase request whenever there is a need to provide additional specifications.
  - 2.3. Procurement requests equal to or exceeding the specified threshold require a thorough review by the appropriate IT/IS Reviewer (See [Appendix 8](#)) to evaluate their alignment with the University's operational and strategic objectives, particularly for items deemed critical to University operations. The findings of this review must be adequately addressed, as outlined in [Appendix 2](#) and [Appendix 3](#).
  - 2.4. Whether the proposed procurement demonstrates clear value for money, considering both immediate and long-term costs and benefits to the University.
  - 2.5. Ultimately, the appropriateness of the choice of procurement and its adherence to the value-for-money principle falls to the approving officer of the procurement in alignment with this Policy.

## Appendix 12 - Market Availability and Supply Chain Procedures

The following shall be implemented in cases of anticipated or actual market shortages:

1. Issuance of Advisory Notices
  - 1.1. The ITDC shall issue advisory notices to all CUs.
  - 1.2. These advisory notices shall be based on data from multiple independent sources and shall be subject to review by the Procurement Office before issuance.
2. CUs shall be encouraged to advance or adjust their procurement timelines as appropriate.
3. Alternative specifications or substitutes may be considered in place of the goods or services experiencing a shortage or expected to experience a shortage, subject to review by the ITDC.
4. Strategic Supplier Relationships
  - 4.1. Long-term supplier relationships and framework agreements shall be explored to mitigate the impact of market fluctuations and ensure supply continuity.
  - 4.2. These arrangements shall allow the University to efficiently procure directly from manufacturers, suppliers, or other authorized sources outside of the PS-DBM. Furthermore, access to alternative supply channels ensure operational continuity in cases of PS-DBM stock unavailability or market-wide shortages.

## Appendix 13 - Conflict of Interest Procedures and Whistleblower Mechanism

1. The digital transformation office shall review ITSES procurement activities specifically for potential conflicts of interest. This office shall conduct an annual compliance review and provide recommendations for addressing these concerns.
  - 1.1. The annual report to the University President shall cover the conflict of interest issues identified, actions taken, and recommendations for preventing further conflict of interest in ITSES procurement.
2. A whistleblower mechanism shall be established to allow anonymous reporting of any suspected unethical practices, coursed through the Human Resource Development Office, with the digital transformation office serving as a supplementary channel for receiving ITSES-related reports.

# Appendix 14 - Detailed ITSES Specifications and Procedures

1. *Updating of minimum specifications*
  - 1.1. Existing use cases must automatically be initiated for entries that are in end-of-life and/or end-of-support (at least with support or warranty within its useful life). This entails providing higher technical specifications based on TCO and market scoping.
  - 1.2. Each Prescribed Use Case Minimum Specifications (PUCMS) shall use generic (as opposed to proprietary) terms accepted by the industry for defining use case specifications.
  - 1.3. As stated in [Section 3.4](#), each ITSES use case in the RUC will have effective and cost-efficient recommendations for the modes of procurement (as listed in Section 26 of NGPA). These recommendations will be provided by the Procurement Office.
2. *Specifications Defining the Total Cost Of Ownership (TCO Specifications)*. In addition to [Section 4.3](#), the following shall be the minimum set of TCO specifications:
  - 2.1. The manner of delivery, installation, and deployment of ITSES.
    - 2.1.1. The guaranteed minimum number of years of technical support, including maintenance requirements (i.e. renewal or upgrade)
    - 2.1.2. Identifying direct and indirect externalities of the equipment or service
    - 2.1.3. The bidding documents that must be submitted by the service providers
    - 2.1.4. If the following services are included:
      - 2.1.4.1. Provision of Licenses
      - 2.1.4.2. Maintenance
      - 2.1.4.3. Installation
      - 2.1.4.4. Deployment
      - 2.1.4.5. On-boarding
      - 2.1.4.6. Assistance with change management

2.1.4.7. Training/Knowledge transfer

2.1.4.8. Commissioning

2.1.4.9. Decommissioning

3. For exemptions, which Section 11 of the Republic Act No. 12009 provides for specifying branded equipment, to wit: *“Reference to a brand name shall not be allowed except for reasons of technical compatibility, interoperability, servicing, maintenance, or preservation of supplier warranty in order to keep the performance, functionality, and useful life of the equipment, in which case, the Procuring Entity shall indicate the reasons or justifications for availing the exception,”* the brand specification shall be done according to the following procedures:

- 3.1. The end user shall identify *“the existing fleet or equipment,”* describes the performance or functionality that must be maintained, and justify the continued use of the brand used in the *“existing fleet or equipment;”*
- 3.2. The CU's IT unit shall review and validate the rationale provided by the end user to ensure alignment with the University's standards.

4. *Cybersecurity Considerations*

- 4.1. All ITSES procurements shall include an evaluation of cybersecurity features and risks.
- 4.2. Vendors must provide documentation of relevant security certifications (e.g., ISO 27001, SOC 2) for their products or services.
- 4.3. The CU's IT unit shall conduct a security assessment of the proposed ITSES before final approval.

5. *Estimated Useful Life (EUL) Considerations*

When setting specifications for ITSES, the EUL of equipment should be taken into account to ensure long-term value and appropriate lifecycle planning. Refer to [Appendix 7](#) for a comprehensive table of estimated useful life durations for various categories of IT equipment. This information shall be used to:

- 5.1. Inform *procurement* decisions by considering the expected longevity of equipment.
- 5.2. Guide maintenance and replacement schedules.
- 5.3. Assist in calculating the total cost of ownership over the equipment's lifecycle.

- 5.4. Align specifications with the intended duration of use for specific ITSES items.

## 6. *Emerging Technologies*

For procurements involving emerging technologies (e.g., artificial intelligence, blockchain, IoT), additional evaluation criteria shall be considered, including:

- 6.1. Technological maturity and stability
- 6.2. Compatibility and interoperability with existing systems
- 6.3. Scalability and future-proofing
- 6.4. Ethical considerations and compliance with relevant regulations
- 6.5. In consultation with IT directors of CUs, the ITDC shall maintain and regularly update guidelines for procuring specific emerging technologies.

## 7. *Proactive Use Case and Specification Planning*

The ITDC shall conduct a yearly analysis to project and define a range of typical use cases for ITSES across the University system. This exercise shall:

- 7.1. Involve stakeholders from all CUs to ensure comprehensive coverage of use cases.
- 7.2. Consider emerging technologies and their potential applications in the University context.
- 7.3. Take into account the projected end-of-life and book value depreciation of existing ITSES.

## 8. This proactive planning shall aim to:

- 8.1. Leverage economies of scale through consolidated procurement.
- 8.2. Improve procurement timeliness by anticipating needs in advance.
- 8.3. Address obsolescence by regularly updating specifications and planning for technology refresh cycles.
- 8.4. Ensure uniformity and compatibility of ITSES across the University system where appropriate.

## 9. The results of this planning exercise shall be used to:

- 9.1. Inform the annual update of the Prescribed Use Case Minimum Specifications (PUCMS) table in [Appendix 1](#).

- 9.2. Guide CUs in their individual IT procurement planning.
- 9.3. Facilitate the development of framework agreements with suppliers.
- 10. While this proactive planning provides a framework, it shall not preclude CUs from procuring ITSES for unique or unforeseen requirements, subject to proper justification and approval processes. The test of what is the most advantageous to the government may be used to justify the procurement.

## Appendix 15 - Registry of Use Case (RUC) Detailed Elements

1. The RUC must be reassessed annually by the ITDC to account for technological changes.
2. The RUC shall adhere to the following guiding principles:
  - 2.1. *Alignment with Institutional Goals.* Every use case described within the RUC must support the institution's strategic objectives. This includes the enhancement of administrative efficiency, the advancement of educational outcomes, and digital transformation, thereby supporting the University's overarching mission.
  - 2.2. *Consistency and Compliance.* The RUC shall ensure that every use case adheres to the Prescribed Use Case Minimum Specifications (PUCMS) and remains in full compliance with regulatory requirements, institutional laws and policies, and best practices (as listed in Section 26 of RA 12900).
  - 2.3. *Scalability and Sustainability.* Use cases must be devised with the foresight of future expansion, resource usage, and overall long-term sustainability in both administrative and educational contexts. Furthermore, the RUC must take into account the inclusive and sustainable standards of procurement outlined in [Section 4.3.1.8](#).
  - 2.4. *Inclusivity and Accessibility.* All systems shall be designed to support equitable access for all users, promoting inclusivity in the University.
  - 2.5. *Security and Privacy.* Each use case shall uphold the highest standards of security and privacy, safeguarding all sensitive information of its users in accordance with laws and the Prescribed Use Case Minimum Specifications (PUCMS), as discussed in [Section 3.1.9](#). Privacy shall be safeguarded, particularly in use cases involving personal or confidential information.
3. Structure of the RUC
  - 3.1. Each use case in the RUC shall contain:
    - 3.1.1. Unique identifier
    - 3.1.2. Title and Description. A detailed and comprehensive explanation of the use case or system being documented, including its primary function, scope, and intended outcomes. This section should provide a clear overview of how the ITSES addresses specific needs or objectives.

- 3.1.3. The business process or function it supports
  - 3.1.4. Primary stakeholders. Identification of key stakeholders involved in the implementation, management, and oversight of ITSES including the roles of administrative, technical teams, and end-users in maintaining and supporting the system.
  - 3.1.5. Technical requirements. This shall encompass hardware requirements, software dependencies, integration capabilities, and installation and deployment procedures.
  - 3.1.6. Functional specifications (see [Section 3.1](#))
    - 3.1.6.1. Integration points with other systems
    - 3.1.6.2. Data flow and security considerations
    - 3.1.6.3. Performance metrics
  - 3.1.7. Estimated lifecycle
- 4. Maintenance and Update Process
  - 4.1. Schedule for regular reviews (e.g., quarterly, semi-annually)
  - 4.2. Process for submitting new use cases
  - 4.3. Approval workflow for updates and additions
  - 4.4. Version control and change log requirements
- 5. Categorization and Tagging
  - 5.1. Define a taxonomy for categorizing use cases (e.g., by department, function, technology type)
  - 5.2. Implement a tagging system for easy searching and filtering
- 6. Linkage to PUCMS
  - 6.1. Explain how each use case links to specific Prescribed Use Case Minimum Specifications.
  - 6.2. Process for updating PUCMS based on evolving use cases
- 7. Accessibility and Distribution
  - 7.1. Define who has access to the RUC
  - 7.2. Specify the platform or system used to host the RUC

- 7.3. Outline the process for distributing updates to relevant stakeholders\
- 8. Compliance and Governance
  - 8.1. Procedures for ensuring use cases comply with university policies and regulations
  - 8.2. Governance structure for overseeing the RUC (e.g., steering committee, responsible parties)
- 9. Performance Evaluation
  - 9.1. Metrics for evaluating the effectiveness of the RUC
  - 9.2. Process for gathering feedback from users and stakeholders
  - 9.3. Annual review and reporting requirements

## Appendix 16 - Strategic Procurement Planning Procedures

1.

- Specify market scoping (e.g. conferences) in line with NGPA Section 10
- TCO, MEARB, and PUCMS can be considered setting specifications part of strat prior to opening for bidding

## Appendix 17 - Total Cost of Ownership (TCO) Calculation Details

1. Except for ITSES to be chosen through LCB criteria, the cost of ITSES shall be assumed to be the total cost of ownership. The TCO shall be calculated based on the following dimensions:
  - a. *Procurement*. The actual cost of procurement may include supply, delivery, installation, deployment, onboarding, change management, knowledge transfer, decommissioning, commissioning, and the like. For foreign suppliers, the cost must consider foreign exchange fluctuations, customs fees, and other expenses of delivering the item to UP.
  - b. *Installation, Deployment, And/Or Integration To The Existing Fleet* – Cost required to utilize the procured resource, or achieve the required performance, functionality, and/or usefulness based on the procurement purpose. This may include costs of necessary civil works and related costs of required modifications and/or upgrades of existing related resources.
  - c. *Training Requirements*. Cost of training persons or team to ensure sustained useful life and/or subscription cycle.
  - d. *Maintenance Requirements (Space, Regularity, Services, Supplies, And Materials)*. Cost of maintaining space requirements, preventive maintenance required, supplies and materials costs for ensuring sustained useful life and/or subscription cycle. Response and turn-around time for maintenance and repair services must be indicated.
  - e. *Renewal Replacement And/Or Upgrade (Equipment Life Cycle, Length Of Contract)*. Cost of acquisition of the same make and brand (inclusive of license and service contract), or upgrade and/or replacement thereof, in light of the potential length of purpose and/or utility beyond the equipment life cycle, subscription length, or service contract date range of effectivity.
  - f. *Switching (Re-Training, Decommissioning, And Commissioning)*. Cost of required training, retraining, decommissioning, commissioning, and other necessary activities related to a change of make and brand, kind of license, or change in contract details.
  - g. *Externality (Energy Efficiency, Pollution)*. Direct and indirect costs due to expected effects of the use of or practice involved with the owned IT equipment, software, or service consistent with the appropriate rational balance with the intended purpose of the same.

2. Each procuring entity together with the end user may determine to consider other items in addition to these but shall provide justification for inapplicability of the above dimensions, if at all.
3. Requests for reconsideration and protest may be availed of by suppliers for decisions of the BAC in all stages of procurement and may be protested to the Head of the Procuring Entity (HoPE). The GPPB shall establish an electronic filing system for the submission of protests by bidders upon payment of a non-refundable protest fee. Protests shall be resolved by the HoPE in accordance with Article XVI of the New Government Procurement Act.

## Appendix 18 - Quality Criteria for Most Economically Advantageous Responsive Bid (MEARB)

1. In addition to [Section 4.4](#), any or all of the following characteristics may be considered in determining the quality criteria of the MEARB in the procurement process:
  - 1.1. *Period of Completion.* The agreed-upon timeline within which the goods or services must be delivered or the contractual obligations fulfilled. This includes performance tracking for the commencement and completion of the work, ensuring that the contract is completed within the established deadlines. This may include the following:
    - 1.1.1. The period and cost of delivery
    - 1.1.2. The useful life of the item (See [Appendix 7](#))
    - 1.1.3. The cost of maintenance, including the highest likely after-sale service
    - 1.1.4. The cost of end-of-life disposal
  - 1.2. *Cost-Effectiveness.* In realizing value for money, procurement must take into consideration all the costs over the lifecycle of goods or services from research and development, the cost of its use, to the production to end-of-life disposal costs. The total cost is weighed against the benefits and performance of the goods or services.
  - 1.3. *Data Privacy and Protection Compliance.* Guarantee that ITSES complies with all legal frameworks and institutional regulations governing the protection of sensitive data.
  - 1.4. *Compatibility and Scalability.* Considerations of compatibility with existing University IS to facilitate a more efficient knowledge transfer and change management. Additionally, this may include open-source code or compatibility with open-source.
  - 1.5. *Design and Functionality.* Assess the aesthetic, functional capacity, and user-centered design, ensuring the product or service meets both visual and practical needs. Furthermore, evaluating the accessibility focuses on the ease of use for end-users with varying abilities. Design for all users ensures that the product or service is versatile and accessible to a wide range of people.
  - 1.6. *After-Sales Service.* Continued service and support assumed by the contractor following the delivery of products and services. This encompasses advisory,

repair, and replacement services rendered post-delivery. Such provisions are essential in maintaining the performance and functionality of the contracted goods or services, thereby ensuring that the contracting authority receives adequate support throughout the validity of the contract period. This fosters a continued relationship between the contracting parties, ensuring that any maintenance, troubleshooting, or operational issues are resolved following the terms agreed upon at the outset of the contract. Furthermore, ensuring the after-sales service and support can be a determining factor in the renewal of contracts ([Section 2.4](#)).

- 1.7. *Educational Value and Relevance*. Evaluates the extent to which the goods or services procured contribute to the institution's educational objectives. It assesses whether the product or service enhances learning outcomes, aligns with the curriculum, supports teaching methodologies, and meets the needs of students and faculty. The focus is on ensuring that the procurement directly supports academic development, fosters innovation in education, and is adaptable to the evolving needs of the learning environment.
- 1.8. *Social and Environmental Considerations*. Considers the broader impact of the contract on society and the environment. The social, environmental, and innovative characteristics of the contract are assessed to ensure that it promotes positive social outcomes. The following will be given preference:
  - 1.8.1. Lower carbon footprints, such as sustainable manufacturing, energy efficiency, product longevity, and recyclability.
  - 1.8.2. Suppliers, products, manufacturers, and contractors with a track record of adhering to ethical practices and meeting environmental standards.
  - 1.8.3. Equal opportunities for vulnerable and marginalized sectors, gender and ethnic equity, and poverty reduction, such as procuring locally sourced products, or procuring from social enterprises, microenterprises social enterprises, and local startups.
2. Any other relevant factors and specific needs identified by the Body can include specific compliance requirements, unique conditions, or legal considerations.

## Appendix 19 - Performance Measurement and Reporting Procedures

1. The Procurement Office shall compile the data annually through their Contract Monitoring Dashboard.
2. Under the joint collaboration of the Procurement Office and the ITDC, a report on these KPIs shall be published every three (3) years. The report will provide a comprehensive analysis of patterns, monitoring trendlines, and identifying areas of improvement.
3. To measure the effectiveness of ITSES procurement, the following performance indicators (KPIs) shall be included in the analysis:
  - a. Procurement cycle time
  - b. Cost savings achieved (compared to market prices)
  - c. User satisfaction with procured ITSES
  - d. Percentage of procurements completed within budget
  - e. Number of successful vendor protests
4. The ITDC and Procurement Office will use this data to ensure value for money and ensure that ITSES and procurement strategies consistently align with institutional goals and technological advancements.

## Appendix 20 – Vendor Management Procedures

1. The Procurement Team reserves the right to review the qualifications of vendors at any stage of the procurement process and ask for supporting documentation as necessary.
2. Based on the performance evaluation results of a vendor, the following shall be done.
  - 2.1. Failure to meet performance standards or contract terms shall be asked to implement improvement plans within an identified period of time.
  - 2.2. If the vendor does not accept or comply with proposed improvement plans, they shall be disqualified from future procurement opportunities for a specified period of time.
3. In line with the GPPB Resolution No. 05-2019, the evaluation of contracts with vendors shall be assessed based on these thresholds:
  - 3.1. Negative Slippage of 5% or Early Warning Stage. The contractor shall be given a warning and be guided to submit an improvement implementation plan to eliminate the stoppage;
  - 3.2. Negative Slippage of 10% or ICU Stage. The contractor shall be issued a final warning and be asked to submit a more comprehensive program of activities and targets.
  - 3.3. Negative Slippage of 15% and more, or the Terminal Stage. The Procuring Entity shall initiate termination of the contract and/or take-over of the remaining work by administration or assignment to another contractor/appropriate agency.
4. The Procurement E-Manual Series: Infrastructure of the Procurement Office states that vendors shall be given at least seven (7) calendar days to conduct repair works with ongoing contracts and allotted thirty (30) calendar days after receipt of the Procuring Entity's notice of defects and failures.

# Appendix 21 - Risk Management Procedures for ITSES Procurement

1. A risk assessment shall be conducted for all major ITSES procurements, considering:

- 1.1. Technical risks
- 1.2. Financial risks
- 1.3. Operational risks
- 1.4. Compliance risks
- 1.5. Reputational risks

## 2. Roles and Responsibilities

The following roles are responsible for managing risks related to ITSES procurement:

- 2.1. *Procurement Office*: Ensures that all procurement processes follow university guidelines and oversee the financial and legal aspects of contracts.
- 2.2. *ITDC*: Conducts technical risk assessments, ensures compliance with IT security policies, and evaluates vendor technology.
- 2.3. *Office of the Vice President for Legal Affairs*: Ensures compliance with legal and regulatory requirements.
- 2.4. *Data Protection Office*: Conducts overall risk assessments and ensures that the risk management plan is followed.
- 2.5. *Unit and Office Heads*: Assess the operational impact of any risks.

## 3. Risk Identification

Before initiating any procurement process for ITSES, the following sets of risks must be identified:

- 3.1. *Cybersecurity risks*: Potential vulnerabilities introduced by new software or hardware that may compromise the university's data security, systems, or networks.
- 3.2. *Compliance risks*: Risks of non-compliance with government regulations, data privacy laws, or institutional policies.
- 3.3. *Operational risks*: Disruption to university operations due to failures in technology performance, vendor support, or service downtime.

- 3.4. *Financial risks*: Unexpected costs or financial overexposure due to poor budgeting, hidden costs, or over-reliance on a single vendor.
- 3.5. *Vendor risks*: Vendor reliability, including the possibility of vendor lock-in, financial instability, or inability to meet the university's future needs.
- 3.6. *Reputational risks*: Damage to the university's reputation due to security breaches, data leaks, or non-compliance with IT governance standards.

#### **4. Risk Reporting**

All significant risks identified during the procurement process must be reported to the ITDC or the Data Protection Office, depending on the nature of the risks. A risk report should include the following:

- 4.1. Summary of risks identified.
  - 4.2. Risk scores and categories (high, medium, low).
  - 4.3. Mitigation strategies and planned actions.
  - 4.4. Progress of risk management throughout procurement.
  - 4.5. Incident reports (if any occur during the lifecycle of the procurement).
- 5. Risk mitigation strategies must be developed and implemented for identified risks.
  - 6. The risk assessment and mitigation plan shall be included in the procurement documentation.

## Appendix 22 - Disposal and Discontinuation Procedures

1. Efficient and effective disposal ensures value for money. It ensures the timely sale of assets before further degradation occurs and reduces storage costs, including space and inventory management.
2. Each University unit and office will identify an ICT hardware in their unit or office that is no longer in use or has reached its estimated useful life. The ITDC shall identify whether the ICT equipment reported is ready for disposal.
3. *Continuation of operations.* Before the discontinuation of a software or service subscription, the following must be carried out:
  - a. University operations and projects must be ensured to carry on after the discontinuation.
  - b. All necessary data that may be rendered inaccessible or difficult to use after the discontinuation must be retrieved and kept by the University and remain usable until it is no longer needed.
  - c. Users authorized to store data in the cloud associated with the subscription and conduct operations (e.g., email automation, online surveys) dependent on the subscription must be informed of the discontinuation and the subsequent inaccessibility of data or interruption of operations. They must be notified of this at least two weeks prior to the discontinuation. Users of critical systems and widely used ITSES must be notified at the latest 30 days prior to discontinuation.
4. *Data protection*
  - a. Before the end-of-life disposal of IT equipment, all University data and the sensitive information contained in it and/or physically attached to it (e.g. on a sticker label) must undergo data sanitization.
  - b. All data storage devices and equipment with data storage devices to be disposed of must undergo data sanitization and be physically destroyed according to standards regardless of the sensitivity of the information.
  - c. Data removal must comply with applicable data protection laws and University security policies to mitigate the risks of data breaches. Equipment that cannot be securely wiped must be physically destroyed in accordance with University security standards.
5. *Sustainable waste management*

- a. Adherence to environmentally responsible e-waste management practices or disposal of items at the end of their life must be duly observed.
  - b. Disposal of IT equipment must strictly adhere to environmentally responsible e-waste management practices in accordance with Republic Act No. 6969 (Toxic Substances and Hazardous and Nuclear Wastes Control Act of 1990), its implementing rules and regulations, and related laws and regulations.
6. In ICT disposal situations that are not covered by University guidelines but are covered by the the Department of Information and Communications Technology (DICT) department circulars on ICT disposal, the latter are recommended. In the absence of both University guidelines and DICT department circulars, the Revised Manual on the Disposal of Government Properties or its updated equivalent and related government issuances shall be followed.

## Appendix 23 - Capacity Building and Training Topics

1. All staff involved in ITSES Procurement shall undergo annual training on:
  - a. *Updates to ITSES Policy.* Conduct regular training sessions on changes and updates to our Procurement policies and procedures.
  - b. *Best Practices in IT.* Discuss industry-standard best practices, including:
    - i. Code of ethics for procurement activities
    - ii. Total cost of ownership analysis ([Section 4.3](#))
    - iii. Vendor evaluation and selection ([Section 4.7](#))
    - iv. Risk Management in ITSES procurement ([Section 4.8](#))
    - v. Sustainable ITSES procurement ([Appendix 18](#))
    - vi. Emerging technologies and their procurement considerations as discussed in [Appendix 14](#).
    - vii. Hardware specifications and software compatibility
2. The designated University offices identified in [Section 5.1](#) are responsible for planning, scheduling, and implementing capacity-building programs to enhance the skills and knowledge of staff involved in the ITSES procurement process.