



Republic of the Philippines
BATANGAS STATE UNIVERSITY

The National Engineering University

Rizal Avenue Ext., Batangas City, Batangas, Philippines 4200

Tel Nos.: (+63 43)980-0385 loc. 1122

E-mail Address: secretary@g.batstate-u.edu.ph | Website Address: http://www.batstate-u.edu.ph

EXCERPT FROM THE MINUTES OF THE SEVENTY FOURTH (74TH) REGULAR MEETING OF THE BATANGAS STATE UNIVERSITY BOARD OF REGENTS HELD AT TWIN LAKES HOTEL, TAGAYTAY-NASUGBU HWY, LAUREL, BATANGAS ON 07 DECEMBER 2022

PRESENT:

- Dr. MARITA R. CANAPI - Chairperson
CHED Commissioner
Dr. TIRSO A. RONQUILLO - Co-Chairperson
University President
Cong. MARIO VITTORIO A. MARIÑO - Member
Representative of Cong. Mark O. Go
Mr. JOHN BRYAN D. DIAMANTE - Member
Representative of Sen. FRANCIS "CHIZ" G. ESCUDERO
Dir. LUIS G. BANUA - Member
Director, NEDA - Region IV-A
Representative of Dr. ARSENIO M. BALISACAN
Dir. EMELITA P. BAGSIT - Member
Director, DOST - Region IV-A
Representative of Dr. RENATO U. SOLIDUM, Jr.
Engr. LADISLAO L. ANDAL - Member
Private Sector Representative
Engr. AMANDO A. PLATA - Member
Alumni Regent
Dr. KRISTOFFER CONRAD M. TEJADA - Member
Faculty Regent
Ms. DONNA KRISTEL B. VERANA - Member
Student Regent
Prof. ENRICO M. DALANGIN - Head Secretariat
Board and University Secretary

OTHERS PRESENT:

- Dr. FREDDIE BULAUAN - OIC-Director, CHED Regional Office IV-A
Ms. MARICEL B. BERDAN - Staff, Office of Comm. Canapi
Ms. BLAISEDELE C. REGACHO - Staff, Office of Comm. Canapi
Atty. LUZVIMINDA C. ROSALES - Vice President for Administration and Finance
Ms. SHAIRA MAE J. DE JOYA - Technical Staff
Ms. APRIL B. FLORENDO - Technical Staff

Res. No. 136-2B, S. 2022

Resolution Approving the Policy for the Provision of Seed Capital Fund for Sustainable Livelihood of Communities

WHEREAS, to support the attainment of the 17 Sustainable Development Goals (SDGs), the University has undertaken programs, projects and activities supportive of the SDGs since 2014 as articulated in its Strategic Plan 2019-2029 and has reinforced its commitment to sustainability in human, financial, and environmental context with the approval of the establishment of the Center for Sustainable Development, its Logo and Sustainability Plan through Board Resolution No. 4, s. 2022;

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MTD

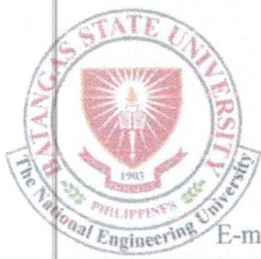
ENRICO M. DALANGIN
Secretary of the University
and of the Board of Regents

Date: 11/23

MTD







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**WHEREAS, the Board through Resolution No. 136, s. 2022 approved the University Policy Guidelines for the attainment of Sustainable Development Goals;**

**WHEREAS, to ensure the attainment of the goals, the University shall be guided by internal policies designed to assure balance between social, economic and environmental sustainability;**

**WHEREAS, Chapter 2 of the approved policy guidelines focused on sustainable support to communities to realize SDG 1 (No Poverty), 4 (Quality Education) and 8 (Decent Work and Economic Growth) which provides specific support of the University to students, faculty, employees and organizations and other external agencies, partner agencies, MSMEs and local communities in the form of access to its resources;**

**WHEREAS, an individual policy is provided in every chapter which prescribes the specific action or step to be undertaken by the University to achieve the SDGs;**

**WHEREAS, this proposed policy prescribes support towards sustainable livelihood of communities may be developed for MSMEs to start or continue an enterprise in the form of seed capital, fund sources, preparatory activities, and project administration;**

**WHEREAS, under this policy, the amount of seed capital fund shall not exceed Fifteen Thousand Pesos (Php 15,000.00) which may be adjusted by the University subject to existing laws, rules, and regulations as well as availability of funds to be sourced mainly from Extension Services Fund;**

**WHEREAS, prior to providing grants, proponents must submit proposals and must attend the a preparatory activities such as but not limited to proposal and business plan write shop;**

**WHEREAS, the proposal was presented to the Administrative Council of the University, and after thorough discussion and deliberation, it was endorsed for approval of the Board through Resolution No. 1128-01, s. 2022;**

**WHEREAS, the same proposal was deliberated upon by the Finance Committee and after thorough discussion and deliberation, it was endorsed for approval of the Board through Resolution No. 120, s. 2022;**

**WHEREAS, the matter was presented to the Board of Regents for deliberation and approval during its regular meeting on 07 December 2022;**

**Leading Innovations, Transforming Lives, Building the Nation**

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**ENRICO M. DALANGIN**  
Secretary of the University  
and of the Board of Regents

Date: **11/23**







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**NOW, THEREFORE:**

**BE IT RESOLVED, AS IT IS HEREBY RESOLVED** that the Board of Regents after thorough discussion and deliberation approved the Policy for the Provision of Seed Capital Fund for Sustainable Livelihood of Communities.

**APPROVED.**

Certified Correct:

**ENRICO M. DALANGIN**

Secretary

Certified True Copy of the Original

**ENRICO M. DALANGIN**  
Secretary of the University  
and of the Board of Regents

Date: **11/23**





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## TITLE

Policy on the Seed Capital Fund for Sustainable Livelihood of Communities

## RATIONALE

People all throughout the world deal with a variety of difficulties. These difficulties include catastrophes brought on by changing climates, illnesses, poverty, and other issues that obstruct peace and prosperity. The Sustainable Development Goals were established by the United Nations after identifying the global issues that needed to be addressed and the foundation for national development strategies. The idea of service among people must be functional and applicable to achieve these objectives. Development interventions create an atmosphere that is supportive and empowering. Thanks to many forms of public, community, and volunteer service. These service modalities specifically aid in transforming people's lives and fostering social responsibility.

By enforcing the third function of the university, the extension service, Batangas State University, The National Engineering University, has been a powerful ally of numerous institutions and agencies in addressing community issues since 2014. Through various programs like adopt-a-barangay, environment and natural resource conservation, protection and rehabilitation, capability training, livelihood, gender and development advocacies, disaster preparedness and response/climate change adaptation, and technology transfer, it meets the needs of the vulnerable and marginalized communities. Additionally, BatStateU pledges to support the achievement of the sustainable development objectives.

The Sustainable Livelihood Program is a capacity-building and financial assistance program for poor, vulnerable, and marginalized communities to improve their socio-economic status through accessing and acquiring necessary assets to engage in and maintain thriving livelihoods.

## LEGAL BASES

This policy is anchored on various laws, rules and regulations of the country. These include the following:

1. RA 11694- Batangas State University as The National Engineering University, serves as a public service university by providing various community, public, and voluntary services, as well as scholarly and technical assistance to the government, private sector, and civil society while maintaining its standards of excellence. Its social responsibility is to serve the Filipino nation and humanity. While it carries out the obligation to pursue universal principles, it must relate its activities to the needs of the Filipino people and their aspirations for social progress and transformation.
2. RA 11337 or the Innovative Startup Act mandates Public Academic Institutions, such as the Batangas State University, The National Engineering to provide programs, benefits, and incentives to startups or startup enablers promulgated by BatStateU The NEU's mandates and through additional mandates provided by the provisions of this Act.
3. CMO 20 Series of 2011- Allows SUCs to allocate 10% of tuition fees for extension services which include the dissemination of the research output for the use and benefit of the community, or locality in which BatStateU The NEU is located.



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### ARTICLE I. POLICY STATEMENT

This policy seeks to establish and institutionalize the guidelines for the grant of the Seed Capital Fund for eligible micro-enterprises or individuals to alleviate poverty among the poor and marginalized communities.

### ARTICLE II. SCOPE AND COVERAGE

The policy on the seed capital fund program for the sustainable livelihood of communities of BatStateU covers eligibility, cost of seed capital, fund sources, preparatory activities, and project administration.

The following beneficiaries and BatStateU unit are also covered by this policy:

1. Micro-Enterprise. It is referred to as any business entity or enterprise engaged in the production, processing, or manufacturing of products or commodities, including agro-processing, trading, and services whose total assets, excluding land, shall not be more than P3 million.
2. Extension Services Office (ESO). The office unit under the Vice President for Research, Development, and Extension Services shall be responsible for setting extension services direction, planning, fund sourcing, and allocation, pertaining to the Extension Services Program of the BatStateU.

### ARTICLE III. DEFINITION OF TERMS

As used in this Policy, the following terms are defined as follows:

- (a) **Line-item Budget** refers to a detailed breakdown of financial assistance requested.
- (b) **Micro-Enterprise** referred to as any business entity or enterprise engaged in the production, processing, or manufacturing of products or commodities, including agro-processing, trading, and services whose total assets, excluding land, shall not be more than P3 million.
- (c) **Project Leader** refers to a project's principal implementer who is concerned with the preparation and submission of the project proposal and in charge of the successful and timely execution of the approved project.
- (d) **Project Proposal** refers to a plan and description of the project developed by a project leader in accordance with specific requirements or specifications set by BatStateU.
- (e) **Project Staff** refers to a person involved in the monitoring of project implementation.
- (f) **Seed Capital** refers to the initial capital an enterprise uses to start or continue a business.
- (g) **Sustainable Livelihood Program** refers to a capacity-building and financial assistance program for poor, vulnerable, and marginalized communities to improve their socio-economic status through accessing and acquiring necessary assets to engage in and maintain a thriving livelihood.

### ARTICLE IV. POLICIES AND PROCEDURES



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The following are the policy guidelines in providing seed capital for sustainable livelihood of communities on the campuses of Batangas State University- The National Engineering University:

### **Section 1. Eligibility**

General qualifications of micro-enterprises:

1. A person or entity duly recognized by the Department of Trade and Industry or Securities and Exchange Commission.
2. The designated Project Leader, Project Staff, and Project Support Staff must be Filipino citizens, subject to applicable laws.
3. Has legal personality to issue an Official Receipt for the receipt of Seed Capital.
4. The enterprise and its owners must not have any existing accountability with BatStateU or any agencies such as technical or financial reports, and its owners must submit a Sworn Affidavit of that effect.
5. The enterprise and its owners must not have any pending administrative or criminal case involving any financial transactions. They must not have been previously found guilty or convicted with finality in case/s of a similar nature, and its owners must submit a Sworn Affidavit of that effect.

Documentary requirements to qualify for the seed capital

1. Up-to-date copy of DTI or SEC registration;
2. Business Permit and other related legal documents;
3. Mayor's Permit where the business is located;
4. Copy of latest income tax return;
5. Latest Financial Report;
6. Sworn Affidavit from all the owners that they are not agents of or related by consanguinity or affinity up to the fourth civil degree to any BatStateU officer authorized to process and/or approve the seed capital and release of funds;

### **Section 2. Seed Capital**

Seed Capital Fund is a financial assistance used as capital to start or continue an enterprise. It may be used for the purchase of materials, inputs, and other physical assets that are necessary for the operations of the enterprise. It shall not exceed Fifteen Thousand Pesos (Php 15,000.00).

### **Section 3. Fund Sources**

The Extension Services Fund is the main source of seed capital funds for all the approved projects, subject to availability.

### **Section 4. Preparatory Activities**

Prior to submission of proposals, all proponents must attend the following preparatory activities:

1. Proposal Writeshop
2. Business Plan Writeshop

### **Section 4. Project Administration**



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### 1. Project Proposal

The following documents must be submitted:

- a. Accomplished proposal form
- b. Description of the business and the owners
- c. Description of the product or service and the value proposition
- d. Business Plan
- e. Marketing Strategy including a description of the target market and size
- f. Competitive Analysis
- g. Work Plan or Gantt Chart of Activities
- h. Curriculum Vitae of the Project Leader
- i. Line-Item Budget

### **Section 5. Line-Item Budget (LIB)**

- a. The seed capital shall finance the expenditures itemized in the duly approved LIB in accordance with the Unified Account Code Structure. The Seed Capital may cover maintenance and other operating expenses only and capital outlay.
- b. The approval and utilization of funds shall be subject to the usual government accounting and auditing rules and procedures and in consonance with the guidelines/circulars set by BatStateU.
- c. All proposals submitted for funding shall follow all applicable review and evaluation mechanisms set by the Extension Services Office of BatStateU.

### **Section 6. Seed Capital Release**

- a. The Seed Capital Fund shall be directly released to each eligible enterprise through cash or check payment following existing government auditing and accounting rules and procedures.
- b. The eligible enterprise shall receive the seed capital at the Cashier's Office.
- c. Pertinent documents relative to the disbursement shall be properly accomplished and secured and shall be attached to the liquidation report.
- d. The only authorized person to receive the seed capital is the one whose name is in the approved proposal. In the absence of the authorized person, an "authorization" bearing the name, signature, and a photocopy of the identification card of the said person shall be presented by the representative. Only legal-aged representatives of the enterprise are allowed to receive the seed capital on behalf of the grantee.
- e. No BatStateU personnel is allowed to be authorized by any eligible seed capital recipient to claim their seed capital for any reason.

### **Section 7. Project Implementation**

The ESO should ensure that the seed capital provided is fully disbursed as to purpose and is compliant with existing accounting and auditing rules.





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### ARTICLE V. RESPONSIBLE OFFICES

The following offices are responsible for reviewing, approving, monitoring, and evaluating the livelihood projects. They shall ensure the implementation of this policy, with the following responsibilities:

- A. **Extension Service Council.** The Council shall approve the project proposal and endorse it to the Board of Regents.
- B. **Extension Office Central.** ESO Central shall issue the Notice to Proceed to the beneficiaries after approval of the BOR.
- C. **Asst. Director, Extension Monitoring and Impact Assessment (EMIA)** - The Office shall monitor the implementation of the project, creation of MSME/s and its cash flow and savings, creation of organization/s in the community, creation of jobs out of the project; track the financial transactions related to the Seed Capital Fund, ensuring that expenditures are in line with the approved budget and policy guidelines; and conduct of final assessment.
- D. **Accounting Office-** This Office shall process the disbursement of the approved seed money and receive its liquidation report.

### ARTICLE VI. MONITORING AND EVALUATION

- A. The ESO-EMIA shall monitor all the enterprise projects using approved monitoring tools and within the duration of the project implementation. It shall also conduct the evaluation and assessments of the project within the five-year period.
- B. The Project Leader shall submit detailed periodic accomplishment and monitoring reports to BatStateU, including financial statements, to account for the use of the seed capital fund. All reports must be duly endorsed by the Head of the Implementing Agency.

### ARTICLE VII. EFFECTIVITY

This policy shall take effect immediately upon the approval of the Administrative Council and shall be effective unless otherwise repealed or amended.