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	Quality Manual	Revision No.:	02
	Code No. NTA-QM-01, Rev. 02	Effectivity:	Dec. 8, 2016

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0.2 INTRODUCTION

This Quality Manual demonstrates and documents the National Tobacco Administration (NTA) commitment to maintaining a high-level of quality and strong customer service within an environment that has globally competitive quality tobacco production as its first priority; consistently focused on activities geared towards customers/stakeholders satisfaction, and fosters continual technology improvement/development.

It also elucidates and defines policies, systems, and procedures adopted to implement and continuously improve/enhance the Agency's Quality Management System (QMS).

This Quality Manual, together with associated documents mentioned hereto, aims to:

- To describe the basic elements of the QMS of the Agency and serves as reference in its implementation and continual improvement.
- To inform the internal and external stakeholders and enable them to observe and implement the Quality System that is being maintained at the Agency.
- To serve as reference and guide for newly hired personnel and make them familiar and appreciate the Agency's Quality System.


0.3 AGENCY PROFILE

0.3.1 Background

0.3.1.1 Tobacco History

Tobacco is a unique plant for several reasons. First, it has penetrated the economic and political systems in the country so as to warrant policy considerations as well as legislative interventions through the years. Second, among the non-food crops, tobacco is the most widely grown commercially, thus, contributing a sizable amount to the economy. Third, it has spurred wide scale controversy about its use which, nevertheless,

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has not decreased but rather has steadily increased despite the warning that consuming it in any form is dangerous to one's health.

Finally, while it is pinpointed as cancer causing, it is considered by many as panacea for many ailments. It may yet be the plant of manifold uses as research continues to discover industrial and pharmaceutical products from the leaves as well as from its by-products.

For four decades now, tobacco continues to dominate the agricultural, economic, social and political life in the regions growing it. The tobacco industry is a major force in the development of these areas especially Region I where the flue-cured or Virginia tobacco is grown


Tobacco has been found by some studies to have raised the income levels and equalized income distribution in the communities growing it. Consequently, social and structural changes occurred and became evident in these areas.



0.3.1.1.1 Tobacco Finds its Way to the Philippines

The Tobacco plant circled the globe before it finally reached the Philippines. Columbus first noticed Arawak Indians in 1492 to be smoking the dried leaves of a peculiar plant - tobacco. Seven years later, Amerigo Vespucci visited an island near Venezuela and noted that the inhabitants were chewing dried leaves. When the Spaniards invaded Mexico in 1519, they found that the

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people were already growing tobacco at an advanced stage. It was figured out that the seafaring Spaniards and Portuguese introduced tobacco to mainland Europe, East Indies and Asia as they went searching for spices and converting people to Christianity.

The Spanish galleons were laden with treasures and curios of all kinds from the New World, among which were tobacco seeds. Through the colonizers, the use of tobacco was introduced into most of the civilized world by the end of the 16th century. Soon, there were more people converted to smoking than to Christianity.


Meanwhile, the Spaniards experimented on the cultivation of tobacco in the places they colonized. In the Philippines, the Augustinian friars brought 6.2189 kilograms of cigar tobacco seeds in the last quarter of the 16th century. Among the major commodities in the galleon trade was tobacco.

In this plant, Spaniards saw the potential of becoming rich while gaining big income for Spain. It could also provide big revenue to the Spanish government in the Philippines. The colonizers toyed with the idea to commercialize the growing of tobacco and establish the tobacco monopoly to assure the Spanish government of bigger revenue on a sustained basis. It could also be a means of catering to the demands for tobacco by Spain and other foreign countries and thus, the establishment of the tobacco monopoly in the Philippines. The Spaniards' attention, therefore, was divided between tobacco growing and the introduction of the Christian faith to the Filipinos.

0.3.1.1.2 The Need to Grow Tobacco

Tobacco has always been of great importance to the economy of the Philippines. The pattern of the country's tobacco industry since the outbreak of World War II changed tremendously with exports greatly reduced and imports increasing greatly.

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The Philippines exported **3,674,136 kg.** of unmanufactured tobacco in 1950 compared to the pre-war years' (1935-1949) annual average of 16,919,169 kg. The same is true with cigar with an all time low export of 2.1 million pieces in 1950 compared with the pre-war average of 202 million pieces. Only 14,000 pieces of cigarettes were exported in 1950 compared to 37.3 million in pre-war years. The reduction in exports was attributed mainly to the closing of European markets during the war, the shift in consumer preference from cigar to cigarettes and the shortage of foreign exchange. (Food Agriculture Report, 1952).




Before World War II, the Philippines exported unmanufactured tobacco mainly to Spain, the Netherlands, Italy, Korea and Japan. Some shipments were also made to French Africa, the United States, China, Belgium and the French East Indies. The United States, on the other hand, was the only source of blending tobacco for the country's cigarette factories. Manila was the center of the tobacco manufacturing industry in the Philippines. In June 1951, there were 51 government-licensed cigarette factories, ten of which produced 75% of the country's machine-made cigarettes. The 25% were provided by a licensed factory in Cebu and many secretly operating factories scattered throughout the country.

The cigar products were mostly man-made but were considered of excellent quality. The chewing and smoking tobacco products were substantial while snuff tobacco was insignificant (Foreign Agriculture Report, 1952).

In 1952, **Republic Act 698** was enacted to limit the importation of Virginia tobacco. This allowed all locally grown and produced Virginia tobacco to be purchased by the government. It also fixed the price for both flue-cured and sun-dried Virginia leaf tobacco. The Philippine Tobacco Administration (PTA) was mandated to assist the Agricultural Credit Cooperative and Financing Administration (ACCFA) in purchasing the leaves.

Harry Stonehill, a retired United States Army Lieutenant, brought in tobacco seeds from America. He printed manuals on how to flue-cure tobacco leaves, and, together with the seeds, distributed them free to the farmers of Ilocos Sur, Abra and Ilocos Norte. He built flue-curing barns in Agoo and San Juan, La Union and in Sta. Barbara, and Jan Jacinto, Pangasinan. He established the Philippine Tobacco Flue-Curing and Redrying Corporation (PTFCRC). Together with John Witney, a tobacco

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expert, and Peter Lim, a businessman, Stonehill pioneered in the Virginia tobacco industry (Duldulao, 1985).

0.3.1.1.3 The NTA Logo



The OVERALL GRAPHIC SHAPE OF THE LOGO is patterned after a tobacco leaf, its angular stance represents the dynamism of the NTA, as well as, the foresight, commitment and determination of the major sectors of the tobacco industry, the Agency and the national leadership.

The TOPMOST GREEN GRAPHIC, POINTING UPWARDS, represents the NTA's twin mandates of improving, firstly, the quality of life and income of the tobacco farmers including those whose livelihood depend on the industry and, secondly, the balanced growth of the tobacco industry.

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The GOLDEN YELLOW, TAN AND DARK BROWN STRIPS, ALL WITH GREEN BANDS, AT THE BOTTOM HALF OF THE LOGO, represent the three types of leaf tobaccos which are commercially grown in the country, namely, Virginia, Burley and Native.

The YELLOW HALF-OVAL GRAPHIC symbolizes the industry's bright future and global competitiveness, radiantly contributing to the national progress and prosperity.

The DEPARTMENT OF AGRICULTURE logo on its side symbolizes that NTA is under the umbrella of DA as a Government-owned and Controlled Corporation.

0.3.2 Mandates, Powers and Functions

0.3.2.1 Mandates


Under its charter, the NTA, as the sole tobacco agency, was given two mandates, namely:

- a. Improve the economic and living conditions and raise the quality of life of the tobacco farmers including those who depend upon the industry for their livelihood; and
- b. Promote the balanced and integrated growth and development of the tobacco industry to help make agriculture a solid base for industrialization.

Additional Mandates

In addition, Section 33 of Republic Act No. 9211, entitled, Tobacco Regulation Act of 2003, mandates the NTA to

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implement the following programs and projects:


1. Tobacco Growers Assistance Program to support financially the NTA registered tobacco farmers who may be displaced due to the implementation of the said RA or has voluntarily ceased planting tobacco;
2. Promote Tobacco Growers Cooperative Program to assist tobacco farmers in developing alternative farming systems, plant alternative crops and other livelihood projects;
3. National Tobacco Free Public Education Program to provide scholarship for dependents of tobacco farmers in collaboration with state colleges and universities;
4. Research and Development Program to undertake studies concerning technologies and methods to reduce the risk of dependence on or injury from tobacco product usage and exposure and development of alternative uses of tobacco and similar research programs
 - a. Promote Tobacco Growers Cooperative Program to assist tobacco farmers in developing alternative farming systems, plant alternative crops and other livelihood projects;
 - b. National Tobacco Free Public Education Program to provide scholarship for dependents of tobacco farmers in collaboration with state colleges and universities; and
 - c. Research and Development Program to undertake studies concerning technologies and methods to reduce the risk of dependence on or injury from tobacco products usage and exposure and Development of Alternative Uses of tobacco and similar research programs.

0.3.2.2 Powers and Functions

To effectively and efficiently carry out its mandate, the same Executive Order, likewise, vested the NTA with specific powers and functions to:

1. Promulgate and enforce rules and regulations on the production, standardization, classification, grading, and

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trading of tobacco and tobacco products as may be necessary to attain its purposes and objectives;

2. Conduct agricultural and industrial research and establish, operate and maintain research stations;
3. Accept and receive financial and other support from private and other sources for the development and promotion of the Philippine tobacco industry;
4. Provide incentives and other financial assistance to tobacco growers and associations, directly or in conjunction with accredited financial institutions; and
5. Impose administrative sanctions for violation of the rules and regulations issued by NTA.

0.3.3 Vision and Mission

Within the medium-term, the NTA envisions:

Vision

"An improved quality of life of the tobacco farmers and other stakeholders through increased productivity and other income-generating activities."

Mission


For the effective actualization of the vision, NTA is committed to:

Enhance capabilities, build synergistic relationship among sectors, and mobilize resources for the development of the tobacco industry, for the benefit of the tobacco farmers and other industry stakeholders.

0.3.4 Core Values

1. Innovation
2. Performance Excellence
3. Client-focused
4. Team Work
5. Respect for people
6. Resiliency
7. Entrepreneurship

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0.3.5 Corporate Priorities

0.3.5.1 Market-Driven Quality Tobacco Production, addressing the growing demand for domestic manufacturing and export markets, primarily through the Tobacco Contract Growing System (TCGS) that will include the production of improved and full flavor/blending type tobacco. This also includes:

0.3.5.2 Continuing Exercise of Regulatory Authority under existing laws. At present, NTA has covered production and trading of leaf and the importation and exportation of tobacco leaf, tobacco products and other tobacco related materials. The NTA intends to expand more its regulatory services cover the processing of leaf and the manufacture, distribution and sale (wholesaling and retailing) of cigarettes, with emphasis on the compliance to standards, detection of fake products and shelf life.


0.3.5.3 Quality Assurance for Tobacco Leaf and Manufactured Products, will concentrate in the provision of services that ensure the quality of land, water, fertilizer and leaf tobacco, including the continuing study and monitoring of physical and chemical quality of cigarettes, as an input to continuing technology adjustments, standards formulation and effective regulation enforcement and compliance.

0.3.5.4 Continuing Research and Development, and implementation of pioneering ventures (the other industrial uses of tobacco), to include among others, the enhancement of technologies and profitability of the production of tobacco dust, tobacco handmade paper and tobacco extracts as pesticide for vegetables, fruits and ornamentals.

0.3.5.5 Farmers' Organizational Development, to include continuing registration of farmers, strengthening farm clusters, organizational development and livelihood assistance, to enable the farmers to become self-reliant, food-secured and become active partners of development.

0.3.5.6 Scholarship Program for Tobacco Farmers Children/Dependents (National Free Public Education). In collaboration with the CHED and TESDA, in regions 1, 2 and CAR. The scholarship includes baccalaureate and technical/vocational courses, preferably in the field of agriculture.

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0.3.5.7 Renewable Energy Farm Development Project and Restoration of Ecological Integrity of Tobacco Growing Regions will address the fuelwood requirement of the farmers in the flue-curing for Virginia tobacco, as well as assist in the reforestation efforts of the tobacco growing regions.

0.3.6 Major Programs and Projects

0.3.6.1 The STRATEGIC DEVELOPMENT PROGRAMS

0.3.6.1.1 Technology Development and Services Program for Market-Driven Quality Tobacco Production


To enhance global competitiveness of local tobacco industry, the program involves the continuing, systematic testing, development, introduction, transfer and adoption, maintenance of yield-increasing, quality enhancing, environment friendly, income/profit-increasing and competitiveness enhancing production and processing technologies to address specific volume and quality requirements for domestic manufacturing and for exports. To sustain this development program, the following production services have been maintained:

- a) Tobacco Seed Production and Distribution
- b) Renewable Energy Farm Development and Restoration of Ecological Integrity
- c) Branch Office Model Farms Project
- d) Outreach Programs: Tobacco Trading and Marketing in Occ. Mindoro and Mindanao

0.3.6.1.2 Industrial Research and Development Program

This program is concerned with the efficient and maximum utilization of the tobacco crop for industrial purposes. As such, the program covers three major tasks which include the development/establishment of the standards of quality and quality assurance/control system for tobacco leaf and tobacco products for the purpose of enhancing global competitiveness, addressing public health consciousness and effective regulation; and, **the**

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continuing development and commercialization of the other industrial uses of tobacco to increase its utility, create new/expand demand and thereto augment farmers income, save and earn dollars, create new business activities/ employment, and increase revenue for the government; and, to serve as safety net in case of any eventuality that may arise due to aggressive, global, anti-smoking campaigns. Among the other industrial uses/ products are tobacco pulp and paper from tobacco stalks, tobacco dusts from tobacco leaves; tobacco extracts /veterinary products, and pesticides and seed oil, pharmaceutical product and food supplements. The major projects under the program include:

0.3.6.1.3 Market Research and Development Program

This program is aimed at determining specific demand/requirement to guide local production by the tobacco farmers and to increase and maximize the Philippines' share in the local and international markets, which continuously grow over the years.


0.3.6.1.4 Regulatory Services Program

This program is aimed to continuously exercise the expanded Regulatory authority of the Agency from production to distribution of Tobacco, with emphasis to the compliance to set standards, rules and regulations and other existing pertinent laws.

0.3.6.1.5 Farmers Organizational Development Program

This program serves as the Agency's main strategy for the social-political (leadership/participation) and economic empowerment of the tobacco farmers. From being the traditional recipients of government's assistance, this program aims toward s nurturing the tobacco farmers to become truly self-reliant, self-sufficient and food secured. Through the formation of honest-to-goodness tobacco-based cooperatives, the tobacco farmers will be given the opportunity to develop/enhance technical, leadership,

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entrepreneurial and organizational/management capabilities alongside, financial capability development. Eventually the strong well-managed cooperatives will serve as NTA's active partner in the continuing identification, development and implementation of programs, projects and services for the benefit of the farmers as well as a strong lobby for the presentation and/or protection of farmers' interests. The major implementing projects include: Farmers' Re-Registration and Profiling; Strategic Planning and Continuing Organizational Development Assistance; Revitalization of Farm Clusters; Organizational Development Program; and, Livelihood Assistance Project


0.3.6.1.6 Institutional Development Program

This program responds to the need for an effective, efficient and responsive organizational machinery to initiate, direct, coordinate, integrate, evaluate and sustain the overall growth and development of the local tobacco industry. The program includes the timely provision of adequate techno-physical support to the implementation of regulatory and developmental services/projects for the industry and to make available the number and quality of manpower expertise the different programs needs. As such, the Institutional Development

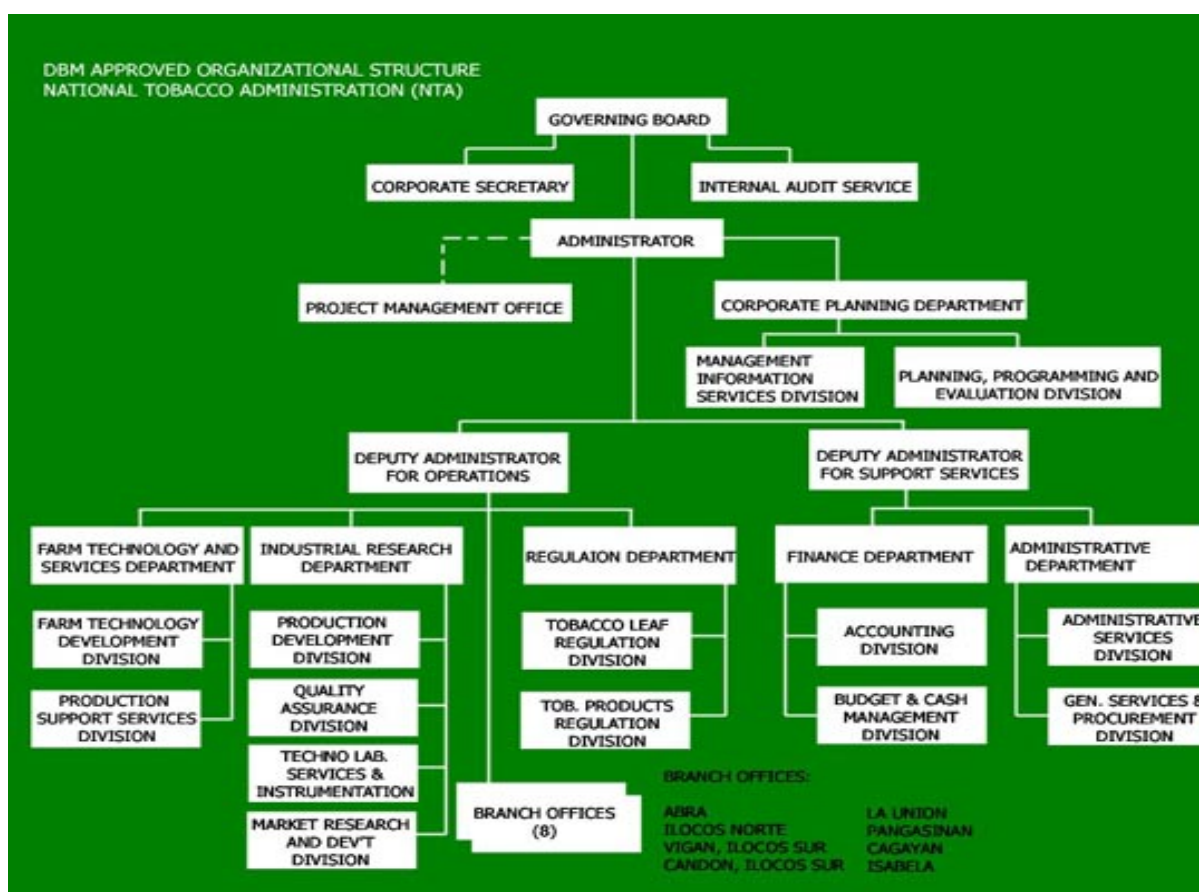
0.3.6.1.7 Scholarship Program for Tobacco Farmers' Dependents

In compliance to RA 9211 the NTA responds to the provision of the act to grant scholarship to dependents of tobacco farmers in every tobacco growing areas.

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0.3.7 Organizational Structure




0.3.7 Functional Descriptions

0.3.8.1 OFFICE OF THE GOVERNING BOARD (OGB)

- Formulates policies, promulgates regulations and prescribes rules necessary for the attainment of the purposes and objectives of the Agency;

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- b. Confirms the appointment of personnel below the rank of Deputy Administrator except the Auditor and those under him;
- c. Approves the Agency Plan and Budget and such Supplemental Budgets submitted by the Administrator; and
- d. Acts on policy issues and matters identified by Management.


0.3.8.1.1 Office of the Corporate Secretary (OCS)

- Provides secretariat and administrative services to the Board and its committees;
- Prepares the agenda for meetings of the Board, in consultation with the Vice-Chairman and Administrator, for the approval of the Chairman;
- Keeps minutes of proceeding of the Board;
- Acts as official custodian of documents entrusted to the Board and exercises control over the use of the corporate seal and minutes of proceeding confirmed by the Board;
- Prepares/conducts studies on proposed programs/projects and relevant issues/concerns and provides technical advice and assistance as may be required by the Board; and
- Performs such other related functions as may be assigned by the Board.

0.3.8.1.2 Internal Audit Service (IAS)

- Conducts continuing review and evaluation of policies, systems and procedures to determine their propriety and adequacy towards effectiveness, efficiency and economy in the achievement of the Agency's goals and objectives;
- Reviews and ascertains the degree of compliance of Agency operating units to existing policies, rules and regulations and systems and procedures;

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determines the benefits derived by the Agency from proper compliance or the resulting ill-effects or losses suffered due to improper compliance or non-compliance;

- Conducts appraisal of procedures and related matters, including the expression of an opinion as to the efficiency or adequacy of existing procedures; and,
- Examines control procedures to determine their adequacy, propriety and exposure to any fraud, irregularity, wasteful practice involving substantial amounts and recurring nature so as to prevent, minimize or put to stop such offenses and practices.

0.3.8.2 OFFICE OF THE ADMINISTRATOR (OAd)

- Recommends to the Board, and implements Board-approved policies, guidelines, plans/programs/projects, rules and regulations, and systems and procedures;
- Appoints officials and employees subject to the confirmation of the Board, and disciplines or removes them for cause in accordance with Civil Service Laws, rules and regulations;
- Recommend to the President the appointment of the Deputy Administrators;
- Submit Corporate Operating Budget, Agency Plan and Budget and Supplemental Budget to the Board;
- Provide overall direction, coordination, control and supervision over all the Operating Groups;
- Establishes, directly or through authorized representatives, the necessary linkages and negotiates for external assistance/services supportive of the programs and projects of the Agency;
- Directs the conduct of periodic review of the performance of all the operating Groups to gauge the efficiency and effectiveness;
- Provides the Board annual and periodic reports pertaining to the policy guidelines, plans/programs/projects, rules and regulations, systems and procedures implementation and the total operations of the Agency;

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- Represents the Agency in all dealings with other offices, agencies and instrumentalities of the government and with other public or private, domestic or foreign entities, and all persons subject to the limitations provided under pertinent laws, rules and regulations;
- Transfers, designates and assigns Agency officers and personnel as the exigencies of the service may require; and
- Performs other related functions as may be assigned by higher authorities.

0.3.8.2.1 Project Management Office (PMO)

- Formulates, recommends and implements approved business strategy plan, including, policies, criteria, guidelines and/or standards for the commercialization of technologies and undertaking of corporate ventures, pursuant to the viability program of the agency as a government corporate entity;
- Coordinate with the research and development units of the agency to identify matured technology and other activities with high business/commercial potential;
- Undertakes preparation of pre-feasibility and detailed feasibility studies for matured industrial technology/new products/business activities;
- Provides assistance and lends necessary expertise, as needed in the actual commercialization venture by the agency;
- Undertakes final packages of projects/products for commercialization in accordance with the requirements of funding institutions/investors;
- Develop and implements plans of encouraging investments on tobacco particularly newly developed

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industrial uses for tobacco and/or other business ventures/income generating activities;

- Initiates negotiation with relevant companies, funding institutions and potential investors regarding technology/product commercialization venture;
- Takes charge of the actual implementation/enterprise development ventures in accordance with approved plan/feasibility study; and
- Performs such other related functions as maybe assigned by higher authorities.


0.3.8.2.1.1 Agri-Pinoy Tobacco Farmers Food Processing Plant and Trading Center (APTFFPPTC)

The APTFFPPTC is a pioneering venture whose main objective is to expand the coverage of the Agency's existing Integrated Farming and Other Income Generating Activities Project (IFOIGAP)- Other Component that provides opportunity to all tobacco farmers desiring to engage livelihood projects that it offers as cooperators in the production of raw materials. Its operations open the window for farmers to engage in livelihood activities to increase their income other than what they generate from tobacco growing.

0.3.8.2.1.2 Tobacco Dust plus Processing Plant (TDPP)

Congruent to the program of the Department of Agriculture (DA), of implementing the Organic Act of 2010, the Agency after thorough research and development has come up with the implementation of

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the tobacco dust production project, one of the other industrial uses of tobacco, developed and implemented as a substitute pesticide used in fishpond to replace the long-banned toxic cyanide-based pesticide used in fishpond. This is also an opportunity for tobacco farmers to increase their income thru selling of tobacco top leaves or ratoons as raw materials for the production of tobacco dust.


0.3.8.2.2 Corporate Planning Department (CPD)

Acts as the central corporate planning, evaluation, management information systems and computerization services arm of the Agency

0.3.8.2.2.1 Planning, Programming, and Evaluation Division (PPED)

- Develops and institutes a corporate planning and project management systems, guidelines, standards and procedures for the agency to ensure its continuing relevance, responsiveness, efficiency, growth and viability as a corporate entity;
- Conducts overall environmental analysis, industry assessment, integrated and/or sectoral research, socio-economic and community assessments, project assessment and pre/feasibility studies;
- Defines/establishes/recommends directions/thrusts/priorities of the Agency, in line with the National/Agricultural and Industrial Development policies/programs and pronouncements of the


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Government, taking into account the needs, potentials/opportunities, resources, capabilities and limitations;

- Prepares the Agency and Industry long-term strategic, medium-term and short-term development plans and budget, including public investment and priorities plan of the industry for incorporation in the medium term development and investment priorities plan of the Administration/Agriculture sector;
- Prepares in collaboration with Finance Department, the Agency Plan and Budget Proposal, Corporate Operating Budgets and Agency Operational Plans and Budget, including supplemental budgets;
- Formulate criteria systems and guidelines for prioritization and evaluation as well as conducts review and evaluation of plans/programs/activities for funding, including appropriate funding schemes for incorporation to the Agency's plan and/or operating budget;
- Provides assistance in the planning and operationalization/ management of programs and projects by various departments/units including farmers organizations/communities;
- Undertakes reprogramming of programs/projects whenever necessary on the basis of available resources;
- Designs and implements periodic and systematic evaluation of Agency policies, programs and projects to determine their responsiveness, effectiveness, efficiency and impact; Undertakes continuing studies on the Agency's organizational structure, organization and or unit performance and submits appropriate recommendations thereon;
- Packages programs/projects and initiates negotiation; and establishes necessary linkages with relevant agencies for effective interfacing, collaboration and/or funding support;

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- Prepares and submits monthly, quarterly, semestral and annual accomplishment reports and other documented reports or outputs as required by top management, DA, OP, NEDA, DBM and other oversight agencies; and
- Performs such other related functions as may be assigned by the Administrator.

0.3.8.2.2.2 Management Information Service Division (MISD)

- Develops and implements policies, plans, programs and services on management information and computerization services on management information and computerization services of the Agency;
- Designs, install, operationalizes and maintains databases, for the strategic information requirement of the Agency and its operating units, in accordance with set database system and standards;
- Initiates the promulgation, adoption and implementation of a responsive automated system of data generation, processing, presentation, storage and retrieval;
- Develops/establishes and maintains e-communication network to facilitate the transmission/reception of management information;
- Develops computer application programs, automation system for various administrative and technical operations of the Agency;
- Designs and implements, in collaboration with planning and evaluation, finance and audit units, periodic and systematic monitoring/performance tracking and actual validation/field inspection of plans, programs/projects to determine conformity to plans/designs/set policies and standards;
- Provides top management and the different departments and/or offices with timely, relevant/accurate and

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organized data, information and statistical reference for use in planning and decision-making;

- Implements a computer repair and maintenance program for the Agency; and
- Performs such other related functions as may be assigned by higher authorities.

0.3.8.3 OFFICE OF THE DEPUTY ADMINISTRATOR FOR OPERATIONS (DAOP)

- Recommends to the Administrator, implement policies, plans, programs, rules and regulations, implementing systems and procedures concerning research, farm technology development, technological information and transfer, extension support services, export development and regulatory procedures at the various stages of the industry;
- Provides overall direction, control, coordination, and supervision of the development and implementation of the Agency's programs and projects by the Farm Technology Development and Services, Industrial Research and Market Development and Regulation Departments and ensure that such is in accordance with set directions, thrusts, policies and plans, and that the output and results are within the set performance targets and standards;
- Coordinates with the other operating groups to ensure full support of the programs and projects being implemented by the operating department/units;
- Explores/initiates negotiation, and coordinate with other governments agencies and private institutions pertaining to their programs, projects, services and assistance supportive of the undertakings of the Agency within the limits of their authority and competence;
- Conduct periodic performance review of the departments/units within the group to determine their effectiveness, adequacy and responsiveness of the units in responding to the Agency's operations requirements as well

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as introduce necessary measures for the continuing improvement of service delivery;

- Submits to the Administrator, on a periodic and continuous basis, reports pertaining to the status, accomplishments, problems, issues and requirements of implementation for policy information/recommendations, decision or action;
- Submits to the Administrator policy studies along the area of jurisdiction or functional responsibility of the Operation Group, or issues for policy formulation, revisions or decisions; and,
- Performs such other related functions as may be assigned by the Administrator.


0.3.8.3.1 Farm Technology and Services Departments (FTSD)

Acts as the technology development and farm services arm of the Agency

0.3.8.3.1.1 Farm Technology Development Division (FTD)

- Recommends and implements policies, programs, projects and guideline on the continuing technology development and enhancement, technology verification, demonstrations and piloting, quality production and integrated farming systems and production support services;
- Coordinates with branch offices on the demonstration/conduct of technology and piloting verified technologies for dissemination to farmers before massive commercialization is recommended;
- Diagnoses tobacco pest/s problems and recommends solutions;
- Provides technical expertise/consultancy service to Branch Office personnel in the implementation of programs/projects; and,

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- Operationalizes Protocol Research System with the private sector and Quick Response/Problem Referral System with the other operating groups of the agency;
- Takes charge of germplasm collection, characterization, evaluation and maintenance; and,
- Seed production and distribution of recommended tobacco variety
- Performs such other related functions as may be assigned by higher authorities.

0.3.8.3.1.2 Product Support Service Division (PSSD)

- Develops programs, projects and assistance/services packages for the systematic transfer and adoption for recommended technologies by the farmers;
- Develops, trains and enhances capabilities of TPROs for the successful adoption of recommended technologies;
- Continuously monitor actual operation of production technologies, including their respective yield and quality indices, cost and return to serve as vital inputs in technology adjustments and floor price determination;
- Trains farmer leaders and organized farmers groups for their active participation in the transfer of recommended technologies;
- Develops, strengthens, promotes farmer's organization to serve as conduct of assistance packages on quality leaf tobacco production, alternative crops/ farming systems and development of agri-based livelihood programs/projects;
- Collaborates with the Branch Offices and other concerned units/agencies in the development of assistance/packages for tobacco leaf products; and

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- Perform such other related functions as may be assigned by higher authorities.

0.3.8.3.2 Industrial Research Department (IRD)

Acts as the center for standards development; quality assurance for tobacco and tobacco products; the development of other industrial uses of tobacco; and the market research and development arm of the agency


0.3.8.3.2.1 Product Development Division (PDD)

- Conducts research and development activities on the use of tobacco leaf, plant parts and wastes for industrial/commercial products, pharmaceutical, medicinal and veterinary uses. pesticides, oils and others (Refer to the NTA Manual of Operations, Rev.2, page____, Section D1.1).
- Conducts techno-economic analysis of potential/new products to determine their technical/economic feasibility, investment viability and market potentials;
- Conducts Information dissemination and technology training on potential/new industrial products developed from tobacco; and
- Performs such other related functions as may be assigned by higher authorities.

0.3.8.3.2.2 Quality Assurance Division (QAD)

- Develops and implements programs, policies, guidelines and/or procedures for the conduct of continuing research/studies and establishment of standards of quality for tobacco leaf and tobacco products;
- Conduct physico-chemical quality evaluation of all tobacco types to determine quality composition and deficiencies, material usability improvement for production management and import requirement;

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- Conducts research relative to the harmonization of existing tobacco leaf classification and grading systems with internationally-accepted standards;
- Develops technical competence in leaf grading and conduct familiarization training for professional graders, Tobacco Production and Regulation Officers (TPROs), tobacco farmers and researchers, including issuance of certificate of proficiency and accreditation of professional graders and quality inspectors;
- Establishes quality and usability indices and quality control measures out of the chemical analysis results of tobacco and wastes samples so as to produce leaf and assessment standards;
- Monitors and evaluates physical and chemical quality of locally produced and imported tobacco products for relevant statutory standards and regulation pertaining to consumer protection (to include nicotine, sugar chlorine, ash, tar, TPM, CO and other characteristics)
- Develops phyto-sanitary standards applicable to tobacco and manufactures products in response to local requirement to prevent possible risk of contamination
- Establishes techno-physical facilities and reference materials for quality determination of data/information storage and retrieval system relative to manufacturing demands;
- Provides updated information/data to include assessment of tobacco demand utilization and supply structure, trends and projects; and, economic analysis of quality assurance to determine economic feasibility/compatibility of quality indices in relation to leaf qualification and grading;
- Performs such other related functions as may be assigned by higher authorities

0.3.8.3.2.3 Techno Laboratory Services and Instrumentation Division (TLSID)

- Services the laboratory requirements of the QAD the FTSD;

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- Conducts chemical analyses of tobacco leaves and other plant parts, specifically nicotine, reducing sugars and other elements;
- Conducts soil, water and fertilizer analyses ;
- Conceptualizes, organizes and implements researches on laboratory standards and procedures in tobacco and other tobacco by-products in support to product research and operations need;
- Prepares periodic reports on the results of analyses and makes necessary evaluation with regards to performance and specification; and,
- Perform such other related function as may be assigned by higher authorities.

0.3.8.3.2.4 Market Research and Development Division (MRDD)

- Undertakes market research/feasibility studies on supply and demand for tobacco and tobacco products in both local and foreign markets to guide technology development, production, and export development programs;
- Determines the market conditions, needs, problems and issues affecting domestic and foreign market for all types of tobacco and other tobacco products;
- Formulates and implements export development strategies and programs;
- Undertakes studies to define specific requirements and identify potential markets for Philippines tobacco abroad;
- Coordinate/establishes linkages with relevant private and government agencies for the continuing sensing, exploration and promotion/development of export market;
- Establishes a reliable data/information as basis in the formulation of policies, programs and projects for the development of the tobacco industry; and,
- Performs such other related functions as may assigned by higher authorities.

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0.3.8.3.3 Regulation Department (RD)

Acts as the regulatory arm of the agency

0.3.8.3.3.1 Tobacco Leaf Regulation Division (TLRD)

- Formulates and implements approved plans, policies and/or guidelines for the effective enforcement of rules and regulations governing the trading of locally-grown leaf tobacco;
- Formulates and implements approved rules, regulations, criteria, guidelines and procedures in the issuance of licenses and permits/authorities for tobacco trading, redrying/warehousing, as well as, importation, exportation and transshipment of leaf tobacco;
- Conducts quality inspections and issues commodity clearance for tobacco importation, exportation and transshipment, including certificate of authenticity for leaf exports;
- In collaboration with the quality assurance group, conducts training professional leaf graders/TPROs and inspectors, trading center operators and tobacco farmers;
- Leads in the conduct of Tobacco Tripartite Conference to review and update floor prices of the different types and sub-types of tobacco, in collaboration with the technology development group, branch offices and quality assurance group;
- Undertakes overall supervisions of trading operation of tobacco Trading Centers (TCs), Wholesale Tobacco Dealers (WTDs) and Redrying Plants (RPs) and Field Representatives (FRs) as per Presidential Decree Nos. 1481 and 1143, as amended;
- Performs periodic inspection of TCs, WTDs, and RPs to ensure compliance with the conditions for the issuance of licenses and permits/authorities;
- Conducts monitoring and periodic assessment/evaluation of trading operations and regulation enforcements as the basis for the revision/enhancement of policies, rules and regulations and/or the enforcement of same;

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- Initiates measures and/or legal action, in collaboration with Legal Department, in connection with violations of trading rules and regulations, pursuant to existing laws, rules and guidelines;
- Prepares a yearly report of acceptances, redrying operations, importation and exportation of leaf tobacco;
- Institutes proper documentation/recording and issues certificate of tobacco production (based on acceptances at trading centers) by province, congressional district and municipality, pursuant to Republic Act Nos. 7171 and 8240;
- Provides Finance Department with monthly report on tobacco acceptances by trading centers and deliveries to manufacturing companies as a basis for the collection of regulatory fees and charges;
- Performs such other related functions as may be assigned by proper authorities.

0.3.8.3.3.2 Tobacco Products Regulation Division (TPRD)


- 1** Develops and implements approved plans, programs policies, guidelines and/or procedures governing the regulation of manufacture, packaging, advertising, distribution, wholesaling, retailing, importation and exportation of tobacco products;
- 2** Formulates and implements approved rules, regulations, criteria, guidelines and procedures in the manufacture, packaging distribution, wholesaling, retailing, importation and exportation of tobacco products, pursuant to existing laws;
- 3** Conducts overall supervision and monitoring of the manufacture, distribution, wholesaling, retailing, importation, exportation and transshipment of tobacco products and other tobacco related materials, to ensure full compliance to set policies, rules and regulations;

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- 4 Formulates and implements approved rules, regulations and/or guidelines for the issuance of commodity clearance for tobacco products;
- 5 Undertakes periodic inspection of manufacturing plants, warehouses of wholesale dealers, retailer, importers and exporters of tobacco products to ensure compliance with the condition for the issuance of licenses and permits, including compliance to safe manufacturing technology and practices;
- 6 Monitors and assesses tobacco product manufacturing packaging, distribution, wholesaling, retailing, importation and exportation operations, including the enforcement/compliance to set policies, rule and regulations for continuing enhancement of plans/policies/regulations;
- 7 Prepares a yearly report of tobacco products manufactured, distributed, imported and exported locally and in the foreign markets;
- 8 Strictly enforces regulatory procedure and monitors compliance by the manufacturers, distributors, wholesalers, retailers, importers and exporters of tobacco products and other tobacco related materials, to the set laws, rules and regulations set forth under existing laws, primarily Executive Order No. 245, Republic Act No. 9211 and WHO Framework Convention on Tobacco Control;
- 9 Coordinates with other government agencies, local government units and other relevant institution for effective and efficient enforcement of regulatory procedures for tobacco products and other tobacco related materials;
- 10 Formulates/enhances existing rules and regulations governing the trading of leaf tobacco, the monitoring and inspections of processing, manufacture, distribution and sale of tobacco products, and the regulation of export and import of tobacco and tobacco products;
- 11 Formulates criteria, and implement rules regulations, guidelines and procedures in the application and issuance of permits and licenses for tobacco products and other tobacco related materials, as well as tobacco importation, exportation and transshipment;

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12 Reviews, assesses and monitors the tobacco product and other tobacco related materials' trading operations including the enforcement and/or compliance to set policies, rules and regulations for planning and policy formulation; and

13 Performs such other related functions as may be assigned by higher authorities.

0.3.8.3.4 Branch Offices (BOs)

- a) Direct, supervise, coordinate and control the overall implementation of the Agency programs/projects in their areas of jurisdiction;
- b) Prepare branch office strategic and annual plans, programs, projects and corresponding budgets proposal for integration to the Agency Plan and budget operational plan and budget;
- c) Recommend and implement approved policies, plans, programs, projects and services of the Agency as perceived to be needed within their respective areas of jurisdiction, particularly those relating to farm technology development/ verification/ enhancement, quality production and extension services, farmers organizational development, leaf trading and regulation enforcement at the various stages of the industry;
- d) Monitor and document the strict compliance of the prescribed technology for quality production from seed bedding to marketing; and other documentary requirements for the implementation of agency's project/services;
- e) Enforce tobacco trading rules and regulations including floor prices in their respective areas;
- f) Receive and undertake preliminary evaluation of applications for licenses and permits of persons and entities within its area of jurisdiction for proper endorsement to the NTA Central Office;
- g) Provide the Office of the Administrator with adequate and up-to-date branch development information on the prevailing agro-socio-economic-political conditions of the tobacco growing areas/communities, the tobacco farmers, the tobacco private/business sector, production and actual implementation of programs, projects and corollary services; enforcement of rules and regulations and other

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pertinent and necessary information including issues/problems and recommendations;

- h) Establish necessary linkages with other private and government agencies within its area of jurisdiction;
- i) Submit periodic reports of accomplishments, and documentary requirements as required in the implementation of projects as well as after operations and annual reports; and,
- j) Perform such other related functions as may be assigned by higher authorities.

0.3.8.4 OFFICE OF THE DEPUTY ADMINISTRATOR FOR SUPPORT SERVICES (DASS)

- Recommends to the Administrator and implements policies, plans, programs and systems and procedure concerning financial management and administrative services;
- Provides overall direction, control, coordination, and supervision of the Finance and Administrative Departments to ensure that the provision of support services needed in the implementation of the Agency's programs and/or services are well coordinated and in accordance with approved policies, plans, systems and procedures and that outputs are within set standards;
- Continuously coordinates with the other operating groups to determine the nature and magnitude and support to be provided at different stages or periods of programs and/or project operations;
- Conducts periodic performance reviews of the Finance and Administrative Departments to determine effectiveness, adequacy and responsiveness of the units in responding to the Agency's operations requirements as well as introduce necessary measures for the continuing improvement of service delivery;
- Submits to the Administrator, on a periodic and continuous basis, reports/studies pertaining to the status, accomplishments, problems, issues and requirements of the Finance and Administrative Departments for policy formulation/revision, decision or action;

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- Submits to the Administrator recommendations for the conduct of studies in Areas of Financial Management and Administrative Services, or issues for policy formulation, revisions or decisions;
- Assists the Administrator and/or other operating groups in the establishment of linkages as well as in the negotiations for external funding, assistance and/or services supportive of the Agency's program and/or project implementation within the limits of their authority and competence; and
- Performs such other related functions as may be assigned by the Administrator.


0.3.8.4.1 Finance Department (FD)

Financial management arm of the Agency

0.3.8.4.1.1 Accounting Division (AD)

- Maintains accurate and up-to-date basic accounting records and books of accounts as basis for preparation

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for financial statements that reflect accurately the financial condition of the Agency;

- Maintains adjustment and reconciliation records of supplies and materials procured, issued and in stock based on supplies adjustment sheets furnished by the General Services and Procurement Division and monitors expenditures to ensure that they have not exceeded or fallen below fund allocation ceilings set for the purpose;
- Prepares and submits analysis and interpretation of status of Agency fund accounts as management's reference and basis for decision-making;
- Processes vouchers for the payments of the Agency's financial obligations;
- Examines and verifies the propriety, accuracy, legality and completeness of all documents supporting money claims against the Agency;
- Maintains index cards for all Agency creditors for control purposes in the processing of all claims;
- Reviews and evaluates financial statements and other financial reports submitted by the different branch offices to provide guidance and exercise control over the accounting procedures and practices of all branch offices; and
- Performs such other related functions as may be assigned by higher authorities.

0.3.8.4.1.2 Budget and Cash Management Division (BCMD)

- A. Formulates and implements budgeting and fund/financial resource management policies in accordance with existing directives, guidelines and considering the Agency's resources and constraints;
- B. Formulates and implements plans, systems, guidelines and procedure for efficient allocation, programming and management of financial resources to optimize their utilization;
- C. Assumes responsibility for the custody of bank certificates, land, titles, bonds, insurance policies,

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- accountable forms, and other commercial papers and/or documents;
- D. Maintains accounts in banks designated by proper authority in accordance with existing laws, rules and regulations;
 - E. Prepares the Agency's periodic (daily, weekly, etc.) cash position reports;
 - F. Provides effective and efficient collection systems for accounts receivables and other collectibles due the Agency;
 - G. Assists in the preparation of Agency plan and budget in the conduct of hearings to determine allocation of budgets to departments/offices' programs and projects/services, in the basis of approved Agency thrusts, priorities and guidelines;
 - H. Coordinates with Corporate Planning Department in maintaining standard area.- and project-based records of cost data and information needed by management for initiating cost control measures;
 - I. Implements budgets directives and administers the operation of budgetary reporting;
 - J. Monitors and provides feedbacks to the different departments/units pertaining to their budget allocation, actual expenditures/utilization and balances and corresponding recommendations;
 - K. Formulates cost standards bases for the preparation of budget estimates over the accounting procedures and practices of all Branch Offices; and,
 - L. Performs such other related functions as may be assigned by higher authorities.


0.3.8.4.2 Administrative Department (Admin)

Administrative support arm of Agency

0.3.8.4.2.1 Administrative Services Division (ASD)

- 1** Formulates recommends and implements policies and procedures pertaining to Agency personnel recruitment, selection, placement, promotion and transfers;
- 2** Develops and implements policies, systems and procedures for employee performance appraisal, reward and recognition and sanctions and provides

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management with updated and relevant information on personnel matters;

- 3 Formulates, designs and implement cultural, athletic and recreational programs for NTA officials and employees;
- 4 Undertakes manpower assessment and planning for the Agency on the basis of the present and future operations;
- 5 Conduct training needs and continuing training capability analysis development and team building program for the Agency;
- 6 Conduct orientation programs for new employees;
- 7 Conduct evaluation of training programs to determine improvements as well as follow-through activities;
- 8 Conduct continuing studies on personnel performance, problems and issues as well as in the conduct of manpower evaluation for policy formulations, remedial actions and planning purposes;
- 9 Formulates, recommends and implement policies, guideline, systems and procedures for records management;
- 10 Formulates, recommends and implement policies and programs related to health care and medical services
- 11 Prepares, in coordination with other units of Agency, audio-visual aids, charts, illustration and other graphic arts for exhibits/promotions for their presentation before the general public
- 12 Submits reports on the implementation and evaluation of personnel policies, personnel welfare benefit/programs, training programs and records management policies and systems and procedures; and
- 13 Performs such other related functions as may be assigned by higher authorities.

0.3.8.4.2.2 General Service and Procurement Division (GSPD)

- Formulates, recommends and implement policy guidelines for the proper use and maintenance of equipment, NTA buildings and facilities ;

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- Formulates, recommends and implements an efficient duplicating and printing service system for all departments and offices;
- Formulates, recommends and disseminates policy guidelines, establishes, designs and install systems procedure on the procurement and storage of supplies and materials;
- Formulates, recommends disseminates and implements rules for the proper procurement, issuance and utilization of supplies and equipment as well as disposal of unserviceable properties;
- Conducts periodical physical inventories of supplies and equipment as required by law;
- Formulates, recommends and implement policy guidelines for the proper and maximum utilization of NTA vehicles and for an efficient and effective vehicle maintenance system;
- Formulates, recommends and implements security measures, and provide security services for NTA officials and employees and NTA property from fire, theft and other hazards;
- Submits reports on implementation of policy guidelines and systems on maintenance services, property and supply procurement and control programs, transportation and communications services and security measures; and,
- Performs such other related functions as may be assigned by higher authorities.

0.4 Quality Management System (QMS)

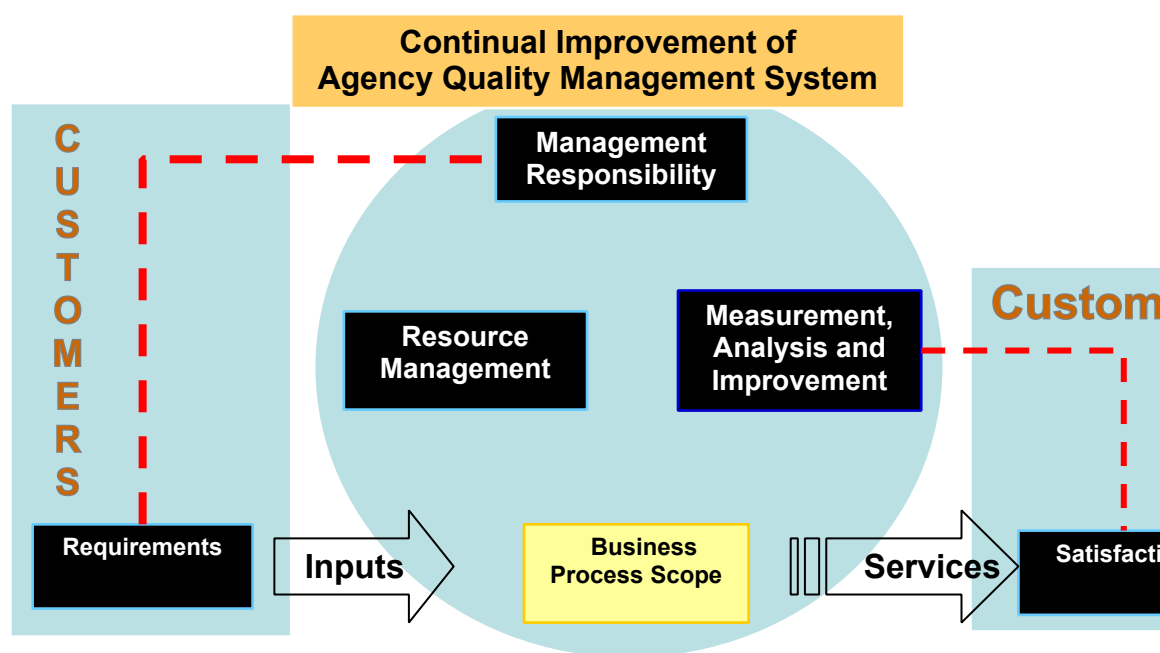
0.4.1 Quality Management System Model

National Tobacco Administration (NTA) as a Government-owned and Controlled Corporation (GOCC) was created by virtue of Executive Order 245 and operates under the supervision of the Governance Commission for Government-owned and Controlled Corporations (GCG) pursuant to Republic Act 10149, known as the “GOCC Governance Act of 2011”; hence, a process-based quality management system model has to be implemented or adopted as suggested by the ISO.

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The model shows two (2) interacting processes. First, the “internal processes” covers the activities to communicate the importance of meeting customer/client and citizen requirements and expectations, define the management responsibility, provide adequate resources to implement the QMS, implement project management system, and monitor, analyze and continually improve the management systems to meet or satisfy customer expectations.




The second covers the “external processes”. It shows the processes for determining customer requirements, designing and implementing projects in line with customer requirements and expectations, determining customer satisfaction, and touching base with customers re Agency’s service offerings. Information derived from external and internal customers is used as basis for the continual improvement of both processes.

0.4.2 Purpose and Scope

The main purpose of this Quality Manual is established to spell out the general policies governing the NTA’s QMS. These policies and procedures define its commitment in complying with the requirements established by ISO 9001:2008 These are the top-level management

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policies representing the Agency's strategic framework in achieving quality Research and Development, Regulatory Services, Technology Assistance, Farm Technology and Services including its Support Process.

Through each of these business processes, the QMS is aligned with the goals and strategic direction of the Agency. As described in this Quality Manual (QM), it defines the Agency's commitment:


- to demonstrate its ability to consistently provide quality service that meets customer demand and the industry applicable regulatory requirements,
- to address customer satisfaction through the effective application of the system, including processes for continual improvement and the avoidance of nonconformity,
- through employee empowerment, especially for innovative action to improve the Agency's performance, and
- through orderly change management that will maintain a high level of service in technologically complex and fast-paced environments, both to accommodate technological change and for continual improvement of the technical skill and capability.

With the above, the Agency QM provides an overview of the quality policies and key requirements for the Agency. It is the source of reference for all matters dealing with quality. It also spells out the Agency's basic policies, guidelines, systems and procedures with regard to the different elements, which can be implemented as a tool for meeting or even exceeding internal and external customers/client and citizens' expectations. And to protect the integrity of the manual, it is available for inspection by our customers, potential customers, third party quality auditors, and concerned regulatory agencies.

0.4.3 Exclusion

Where exclusions are made, they must be limited to Philippine National Standard ISO 9001:2008 Clause 7, particularly 7.5.4, which NTA does not control client's property in implementing its projects, however this component of said Clause does not affect the organization's ability or

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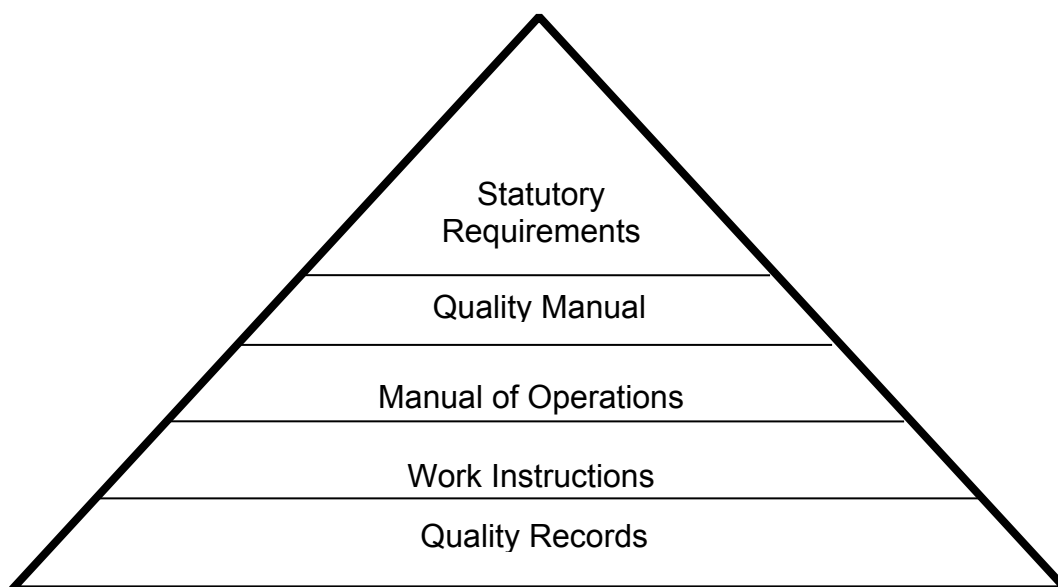
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responsibility to provide products/services that meet customer or statutory and regulatory requirements.

0.4.4 Documentation Structure

The Agency's QMS is designed to assure consistency in meeting the clients/customers and citizens' needs and expectations through the actual performance of the documented processes, procedures, work instructions and support policies, systems and procedures.


The Agency Quality System is described in the following documents:



Level 1: Statutory Requirements - All laws, rules and regulations such as Republic Acts, Executive Orders, Memorandum Orders, Decrees and other issuances relevant to the implementation of the NTA QMS are cited accordingly.

Level 2: Quality Manual – it is the QMS documentation that contains the quality policy, organizational structure, resource management, and specific policies for business process and quality control and improvement.

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Level 3: Manual of Operations (MOO) – this manual is the Operational guide on what the Agency does and how it achieves stated policies. It also provides guidance on how to communicate and perform various activities. The MOO also includes operational instructions that describe the detailed series of steps in performing routine activities.

Level 4: Work Instructions (WIs) - Work instructions present a sequence of steps by NTA departments/office/units to execute their task or activity. The format is typically text, but a visual depiction of the steps can also constitute work instructions. Additionally, hyperlinks are often included. A mix of text,

hyperlinks, and pictures are also included in documenting the process steps.

Level 5: Quality Records (QRs) – These include records providing evidence of conformity to the established procedures and operational instructions, as well as the agency's QMS.

0.4.5 Quality Manual Amendment

Introduction of new procedures or services may necessitate amendments to existing Quality Manual and relevant procedures.

A re-issue of this Quality Manual shall be reflected only when there is:

- change in the scope of certification;
- change in the management and/or organizational structure; and,
- change in the Business Process scope.


Requests or suggestions shall be made in writing to the MR for his/her consideration to ensure that such changes are reflected in the manual.

0.4.6 Confidentiality and Distribution

The Quality Manual and its related documents are treated as confidential and shall not be brought outside the Agency's premises without prior authorization from the Management Representative (MR).

Controlled copies of the Manual are issued to Document Custodians identified by the Agency's Document and Records Chairperson who is responsible for safekeeping and promptly updating necessary revisions.

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It is the responsibility of the Document and Records Chair to distribute and keep a list of authorized holder of the Quality Manual, which may be issued either as controlled or uncontrolled copy. All uncontrolled documents shall be marked with “Uncontrolled” and shall not be updated. Uncontrolled copy of the QM may be distributed to customers or stakeholders when considered commercially beneficial or when demanded as a contract requirement. All external distribution shall be subject to the approval of the QMR.

0.5 Management Responsibility

0.5.1 Management Commitment

The Top Management recognizes the importance of understanding, meeting, and enhancing customer requirements. As such, the following is the clear-cut statement of NTA’s **Quality Policy**, to wit:


NTA QUALITY POLICY

The National Tobacco Administration, as the steward of the tobacco industry, commits to provide customers with distinct quality- Research and Development; Technology Assistance, Extension and Production Support; and Regulatory Services.

Further, we affirm this commitment through:

- Application of continually-improving, cost- effective, income-increasing and environment-friendly approach of Quality Management System, for the stakeholders of the Tobacco Industry;

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- Compliance with the applicable Policies, Rules and Regulations of the Philippine Government concerning NTA operations and the Tobacco Industry; and,
- Ensuring the quality programs and services to the full satisfaction of the customers, through provision of adequate and timely support, number and quality of expertise and active consultation in their development, implementation and review for continuing enhancement.

This Quality Policy shall be made known to all employees and stakeholders, and shall be reviewed periodically for its continuing suitability.


EDGARDO D. ZARAGOZA
Administrator

0.5.2 Quality Management System Planning

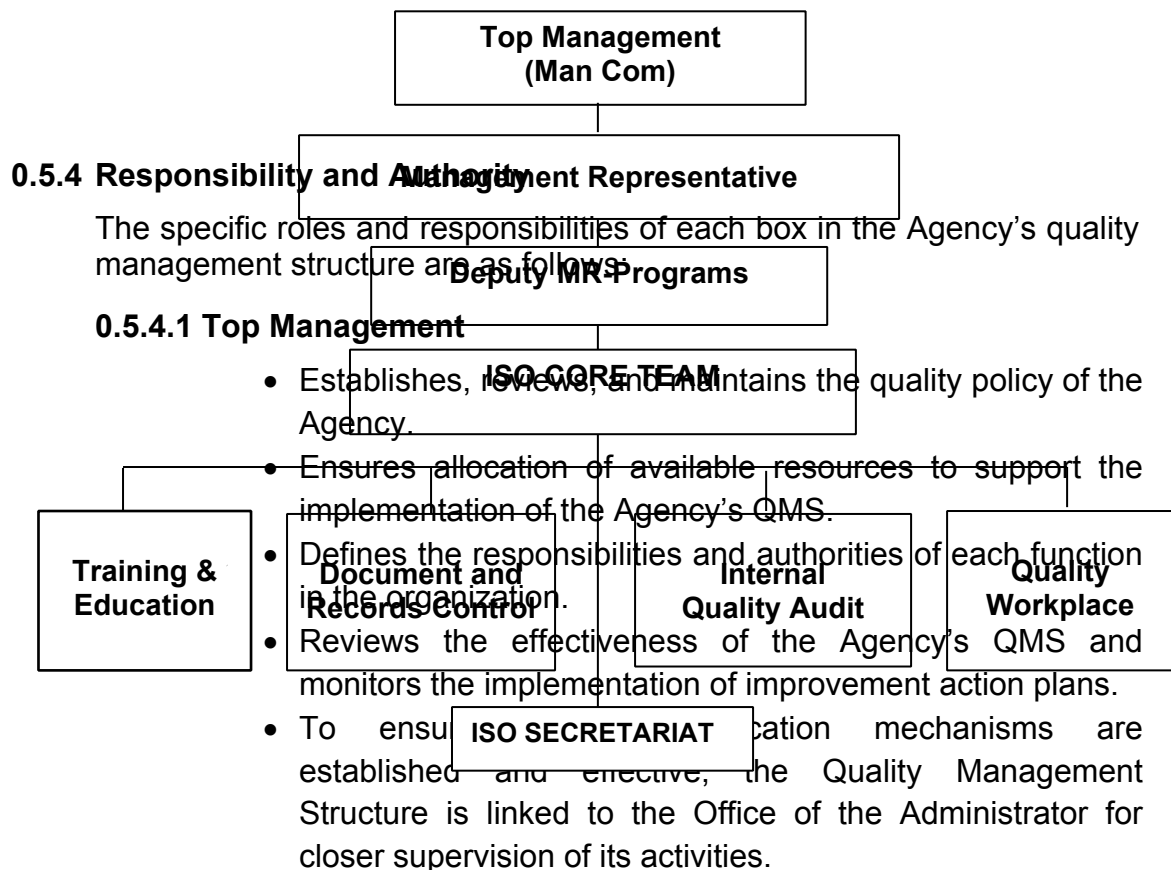
The Agency's strategic and operational plans are the results of the annual, corporate planning process. This is the venue where the strategic thrusts of the Agency are defined, commitments are pledged, and resource requirements are determined. Objectives and targets are set at appropriate levels but specific quality objectives are defined during business process scope implementation.

Prior to the conduct of corporate planning activities, the various provincial branch offices, departments and units conduct pre-planning activities to assess performance, addressing gaps and issues, gather information on stakeholders requirements and expectations and review and align future directions. The outputs of the planning process include, among others, strategies for business and operational improvement, pursuit of the Agency's mandates, product or service innovation and for enhancing customer/client and citizen-focused services.

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0.5.3 Quality Management Structure




0.5.4.2 Management Representative (MR)

- Ensures the effective implementation and maintenance of the established Quality Management System.
- Reports to the top Management the performance of the Quality Management System and areas for further improvement.
- Ensures the promotion of awareness of meeting customer requirements within the relevant scope of the Agency's QMS.
- Liaises with external parties on matters relating to the Agency's QMS.

0.5.4.3 Deputy MR

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- Ensures the effective planning, implementation, maintenance, and continual improvement of the established QMS.
- Assists the MR in performing assigned duties and responsibilities.
- Assumes responsibility of the MR in his/her absence.


0.5.4.4 Documents and Records Control Team

- Establishes, documents, implements, and maintains a procedure for the control of documents and records.
- Maintains the master copies and Master List of the Quality Manual, Manual of Operation, and the Work Instructions as well as the Master List of externally generated documents and references.
- Ensures that current version of relevant documents are available at point of use.
- Prevents unintended use of obsolete documents as well as the unauthorized use of relevant documents and records.
- Ensures the traceability of documents.
- Coordinate enhancement of the procedure for control of records.
- Closely coordinates with heads of Departments, Branch Offices or any other concerned personnel on all matters pertaining Records Management, specifically on records generated from within the QMS business process scope of the Agency

0.5.4.5 Internal Quality Audit Team

- Prepares audit plan, coordinates, and implements the Agency's Audit Program.
- Identifies the necessary resources for managing the Agency's Audit Program.
- Provides inputs during management review regarding audit findings.

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- Monitors and maintains records of implementation of corrective and preventive actions for non-conformances found during audits.

0.5.4.6 Training and Education Team


- Ensures that concerned employees are aware of their roles and responsibilities relative to the attainment of the Agency's goals and objectives.
- Reviews the results of competence evaluation conducted for employees performing functions that affect product or service quality.
- Facilitates conduct of appropriate HR interventions to enhance their capabilities.
- Monitors and evaluates the effectiveness of HR actions taken.
- Ensures that the records of education, training, skill, and experience are maintained accordingly

0.5.5 Management Review

The review of the established Quality Management System is conducted Semestral or whenever deemed necessary by the Top Management, with the recommendation for the Management Review Team/Group, to ensure continuing suitability and effectiveness of the system in satisfying the requirements of customers/clients, citizens, and other stakeholders. The review may cover, but not limited to, the following agenda items:

- Matters arising from the previous management review meeting
- Results of internal and external quality audits
- Adequacy review of the Quality Policy Statement result
- Customer feedback and satisfaction results
- Project performance and product/service conformity
- Status of corrective and preventive actions
- Changes that could affect the quality management system
- Actions taken on recommendations for improvement

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The agenda of the management review is prepared by the QMR and distributed to all concerned. Minutes of the management review are recorded and maintained by the Document and Records Control Team. Results of the review are provided to the QMR and/or Department/Unit/Branch Office Heads for proper reporting to the top management during Man-Com meetings.

0.6 Resource Management


0.6.1 Human Resource Management

The Agency believes that its human resources are its greatest assets. To ensure that the personnel are equipped with the necessary knowledge and skills required to efficiently perform their functions, the Administrative Services Division (ASD) has established and maintained procedures to ensure that personnel performing their functions are competent on the basis of education, training and/or experience. As such, the ASD maintains the records in undertaking the following functions:

- Determining the capability building needs of personnel performing work affecting quality product/service
- Organizing seminars and training courses to meet the identified needs
- Evaluating the effectiveness of ASD interventions
- Orienting the personnel on their roles and responsibilities as they affect achievement of objectives
- Facilitating the placement of qualified personnel to meet the capacity requirements of operations

It is the commitment of the Agency to provide its staff with the proper training for the constant improvement of their knowledge, skills, managerial acumen and attitude on activities related to the quality

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system. This is in recognition that the behavior and performance of every individual directly impacts on the quality of services provided. Training needs analysis shall be conducted as demanded by organizational changes.

The training of personnel includes both formal and informal modes: coaching, on-the-job-training, cross-posting courses conducted by ASD and other departments/units within the Agency. It also includes orientation and cascading sessions conducted by the ISO Core Team.

Recruitment is handled by ASD based on training, skills and education on top of his/her experiences. Processing of employment is based on the recommendation of the Selection Board.

Appropriate records of academic qualifications and training are maintained for all personnel by the ASD.


0.6.2 Infrastructure Management

It is the policy of the Agency to determine, provide, maintain and upgrade quality infrastructure needed to produce products and deliver services required by the customers/client and citizens coupled with continually updating technology innovation to better equip the Agency with high quality of infrastructure. This infrastructure includes (whenever applicable) workstations, training/conference facilities and equipment, meeting rooms, customer receiving areas, library, transportation service, computer and internet/intranet facilities, project management and other software, storage facilities for supplies, communications facilities, and areas for auxiliary services such as photocopying, parking, canteen services, etc. The General Services and Procurement Division (GSPD) under the Administrative Department in coordination with other concerned departments, handles the management and maintenance of these infrastructures.

0.6.3 Work Environment

It is the policy of the Agency to promote the well-being, satisfaction and motivation of its officers and staff. Hence, a NTA Quality Workplace

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Implementing Guidelines has been formulated effective May 18, 2016, that:

- promotes teamwork through sharing of project learning, inter-center collaborations, technologies sharing, etc.; and
- is conducive for working and learning by defining workstations, and formulating and observing quality workplace standards.

The end objective of this is to establish a quality work-life for the Agency's staff in order to work more effectively and efficiently.


0.7 Overview of Quality Procedure/ 6 Mandatory Procedures

0.7.1 Document Control

The Agency has established and maintained a documented procedure for creation/revision, approval, and issuance of the Quality Manual and Manual of Operation (MOO). NTA-QP-01, Document Control procedure, provides for an organized monitoring, distribution, maintenance, and updating of procedures and operational instructions within the said manuals.

All documents included in the QMS are reviewed and approved for adequacy by authorized personnel prior to use. A masterlist, which indicates the current revision status of documents is maintained by the Document Controller and shall be made available to all. This will prevent the use of incorrect, invalid, or obsolete documents. Only the latest issues of documents are available at locations where business process operations are performed. Obsolete documents are identified, retrieved,

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and properly disposed of, retaining only the obsolete original copy document.

Any change in the QMS after its initial approval and issue are subjected to the document change procedure in NTA-QP-01 Control of Documents.

0.7.2 Records Control

The Agency has established and maintains documented procedures for identification, collection, indexing, access, filing, storage, maintenance and disposition of quality records. The procedures are incorporated in NTA-QP-02, Control of Records procedure.

All departments, branch offices, unit, office maintain relevant quality records to demonstrate achievement of the required quality and effective operation of the QMS.

Quality records are legible and stored and retained in such a way that they are readily retrievable in storage facilities that provide a suitable environment to prevent damage, deterioration, or loss.

Retention periods of quality records are established, recorded and maintained in accordance with the **R.A. 9470, otherwise known as the National Archives of the Philippines Act of 2007.**

0.7.3 Control of Nonconformity


The agency has established and maintains a documented procedure to ensure that product and/or service that does not conform to specified requirements is prevented from delivery to the client/customer and citizens.

NTA-QP-03, Control of Nonconformity procedure provides for the identification, evaluation, disposition and recording of nonconforming products and services and for notification to the functions concerned.

The responsibility for review and disposition of non-conforming product and/or service is indicated in the Control of Non-conformity Matrix.

Nonconforming product and/or service are reviewed in accordance with documented procedures and may be reworked.

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If a product and/or service does not conform to the Terms of Reference or to the agreed output as set forth during the contracting process, the Management Review Team Leader in coordination with the concerned process owner should be able to make the necessary corrective measures.

0.7.4 Corrective Action

The agency has established, implemented, and maintained a documented procedure for corrective and preventive actions in order to: efficiently and adequately address non-conformities; and eliminate the causes of actual or potential non-conformities in the QMS (IQA reports, third party audit report, etc.) and in its products and services.


NTA-QP-04, Corrective and Preventive Action procedure includes:

- effective handling of customer complaints;
- investigating the causes of non-conformities and recording the results of such investigations;
- determining the corrective actions needed to eliminate the causes of non-conformities;
- determining the steps needed to deal with any potential problem requiring preventive actions;
- formulation, application, and implementation of controls to ensure the implementation of corrective and preventive actions and its effectivity;
- recording changes in procedures resulting from corrective actions;
- use of appropriate information such as audit results, quality records, service reports and customer complaints to detect, analyze and eliminate potential causes of non-conformities; and,
- ensuring that relevant information on actions taken is submitted for management review.

0.7.5 Preventive Action

Preventive action should be considered as a proactive undertaking. Anticipating the potential problem and addressing it beforehand to

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eliminate the causes and prevent the occurrence of the problem, this is considered to be preventive action.

NTA develops a procedure to control preventive actions in order to prevent potential non-conformities from occurring by:

- 0.7.5.1 Investigating the causes
- 0.7.5.2 Determining their potential effects
- 0.7.5.3 Determining whether action is necessary
- 0.7.5.4 Developing and implementing suitable responses to eliminate the causes
- 0.7.5.5 Recording the results of preventive actions
- 0.7.5.6 Verifying and documenting the effectiveness of preventive actions

0.7.6 Internal Quality Audit


The Agency has established, implements, and maintains a documented procedure to verify whether quality activities and related results comply with planned arrangements and to determine the effectiveness of the Quality System. This is done through NTA-QP-05, Internal Quality Audit procedure.

Internal Quality audits are conducted on a regular basis as scheduled in the IQA plan prepared by the IQA Team Leader, reviewed and recommended approval by the QMR, and approved by the Administrator. Internal quality auditors shall be identified and trained. They are independent of the specific activities on areas being audited.

The results of the audits are recorded and reported. The report contains details of:

- a. non-conformance and non-conformities found during the audit;
- b. root-cause analysis; and,
- c. Corrective and preventive action including dates of completion and follow-up audit.

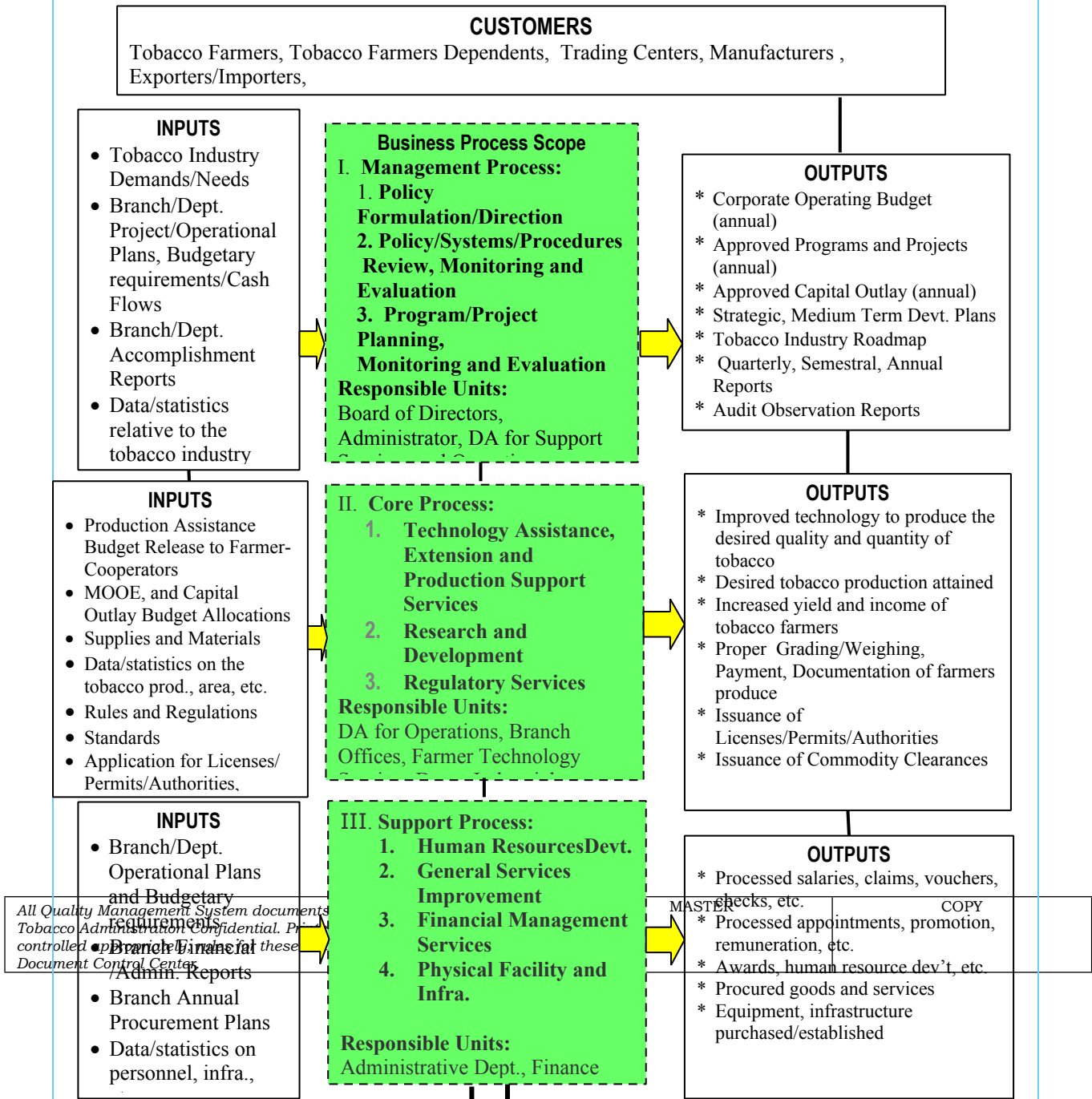
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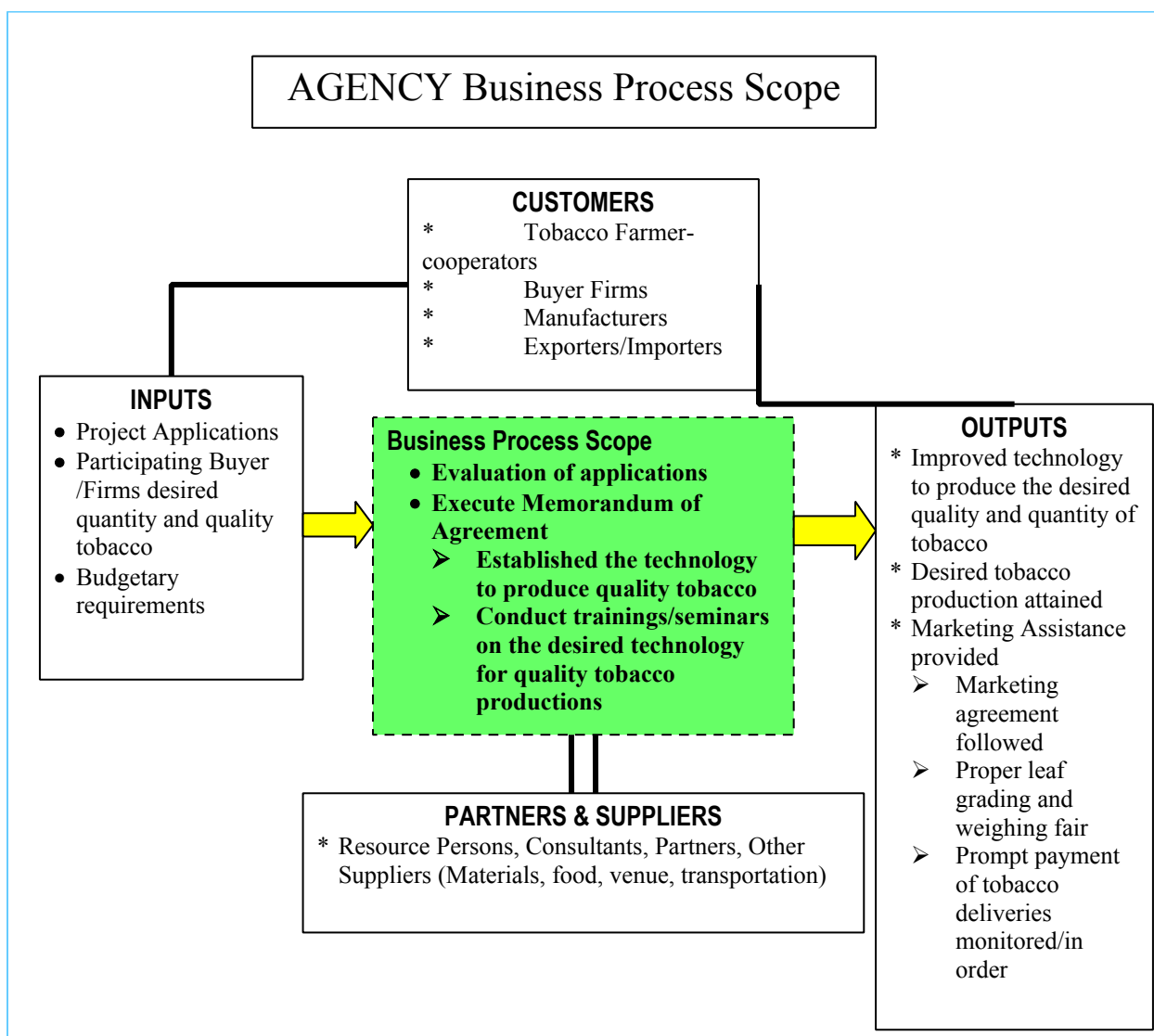
These findings are brought to the attention of the personnel/process owner having responsibility in the audited area. The Management Review Team shall make timely corrective and preventive actions on the deficiencies found during the audit.

Follow-up audit activities are conducted for the purpose of verifying and recording the implementation and effectiveness of the corrective actions taken. IQA results are rendered and maintained by the IQA Team.

0.8 Agency Business Process




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The Agency's business process scope covers the different stages of NTA's project implementation/operations. Each stage of the scope consists of sub-activities that may be undertaken to meet the requirements of the subsequent activities. The start and end of the stages may overlap depending upon the nature of the process scope and the requirements of clients/customers and citizens.

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0.9 Purchasing

It is the policy of the Agency that all procurement of works, goods, and consultancy services shall be in strict conformity with the specific provisions of Republic Act No. 9184 better known as the “Government Procurement Reform Act” and its revised Implementing Rules and Regulations (IRR).

0.10 Control of Monitoring and Measuring Equipment

It is the policy of the Agency to ensure the continuing effectiveness and efficiency of all monitoring and measuring equipment. In line with this policy, they shall:

- be calibrated or verified, against measurement standards traceable to international or national measurement standards; and
- be recorded of the results of calibration and verification and shall be maintained.


0.11 Measurement, Analysis and Improvement

0.11.1 Monitoring and Measurement

As a mechanism to measure the performance of the established QMS, the Agency monitors implementation of the system through periodic conduct of Internal Quality Audits as defined under NTA-QP-05. Likewise, to monitor the product/service outcomes in terms of meeting the client requirements and expectations at different stages of the project, periodic gathering of customer feedback and perception are conducted through any of the following approaches:

- Focus Group Discussions.** This activity is intended to surface the current and future development and productivity concerns of key stakeholders as they are relevant in defining or aligning the Agency’s program thrusts and relevance areas.
- Client Satisfaction Survey.** The determination of client satisfaction is designed to measure and monitor performance of the agency’s products and services in terms of meeting the client requirements and expectations. Results of the survey are examined during

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management reviews where improvement actions are identified for implementation accordingly.

- c. Review of client feedback. The gathering of client/customer feedback during project implementation and evaluation are used to ensure that client's acceptance of project outputs is satisfactory.

Likewise, periodic monitoring is done on a quarterly basis to keep track of performance in terms of accomplishments, timeliness, financial and physical targets, etc.


0.11.2 Data Analysis and Improvement

The Agency uses applicable statistical techniques and tools to establish, control and verify process capability and characteristics. Data on customer satisfaction survey, conformity to product and process requirements and supplier performance are analyzed on a regular basis.

Graphs, diagrams, trend analysis, and variance analysis are the most common tools used for data analysis depending on the information needs of management during review meetings.

Continual improvement is a permanent objective of the agency. As such, various inputs are considered for continual improvement such as quality policy, objectives, audit findings, analysis of performance data, corrective and preventive actions and performance review meetings.

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LIST OF REFERENCES

<u>CODE</u>	<u>REFERENCE</u>
1. NTA – QP – 01	Control of Document
2. NTA – QP – 02	Control of Records
3. NTA – QP – 03	Control of Nonconformity
4. NTA – QP – 04	Corrective and Preventive Action
5. NTA – QP – 05	Internal Quality Audit

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