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**CYRUS RAYMOND C. OLIVENZA**

**STAKEHOLDER PERCEPTION ON ORGANIZATIONAL STRUCTURE OPTIONS  
FOR THE ESTABLISHMENT OF A TOBACCO RESEARCH AND GRADING  
INSTITUTE IN THE PHILIPPINES**

Thesis Adviser:

**PRIMO G. GARCIA, PhD**  
**Faculty of Management and Development Studies**

**19 July 2025**

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**Acceptance Page:**

This Special Project titled: “**STAKEHOLDER PERCEPTION ON ORGANIZATIONAL STRUCTURE OPTIONS FOR THE ESTABLISHMENT OF A TOBACCO RESEARCH AND GRADING INSTITUTE IN THE PHILIPPINES**” is hereby accepted by the Faculty of Management and Development Studies, U.P. Open University, in partial fulfillment of the requirements for the degree Master of Research Management and Development.

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**PRIMO G. GARCIA, PhD**  
Faculty-in-charge, RDM 298 (Special Problem)

---

(Date)

---

**LEO MENDEL D. ROSARIO, PhD, DR&DM**  
Program Chair

---

(Date)

**FINAFLOR F. TAYLAN, DProfSt**  
Dean  
Faculty of Management and Development Studies

---

(Date)

## DECLARATION

This is to certify that:

- I. The special problem comprises only my original work towards the MRDM except where indicated in the Preface
- II. Due acknowledgment has been made in the text to all other material used
- III. The special problem is fewer than 25,000 words in length, exclusive of tables, maps, bibliographies and appendices.

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**CYRUS RAYMOND C. OLIVENZA**

## Biographical Sketch

Cyrus Raymond C. Olivenza earned a degree of Bachelor of Science in Botany from the University of Santo Tomas and currently works as a supervising science research specialist at the Quality Assurance Division, Industrial Research Department of the National Tobacco Administration (NTA), the sole government agency for tobacco attached to the Department of Agriculture, where he was trained on the US tobacco leaf grading and developed expertise in grading locally produced tobacco leaf.

Early on his career as a science researcher at the NTA, he endeavored to establish linkages with other research organizations in the academe and other government agencies, for which joint research and development projects focused on alternative industrial uses of tobacco were pursued, to wit:

1. Immunomodulatory Property of Tobacco Leaf Extract. In partnership of NTA with experts from the University of Asia & the Pacific and the Institute of Biology - UP Diliman in 2017 and awarded first place for both oral research and poster categories during the “30th Regional Symposium on R&D Highlights” of Ilocos Agriculture, Aquatic, and Natural Resources, Research and Development Consortium (ILAARRDEC) in La Union on November 27-29, 2018.
2. Utilization of Spent Tea Leaves and Tobacco Dusts/Particles as Additives for Plywood Adhesives. In partnership of NTA with the Forest Products Research and Development Institute (FPRDI), 2017-2019.

He was also designated as Secretariat of the Technical Working Group for the Establishment of the Tobacco Leaf Grading Institute in 2018, pursuant to the provisions of Republic Act No. 4155, “An Act to Promote and Strengthen the Virginia Tobacco Industry.”

He now continues the research on grading and quality of locally-produced and imported tobacco leaf, as well as pursuing collaboration with the Bureau of Agriculture and Fisheries Standards (BAFS) for proposed Philippine Standard on Tobacco Leaf Grades and with private institutions for the intellectual property rights and technology transfer of novel and alternative tobacco products.

## **Acknowledgement**

My heartfelt gratitude and recognition belongs to God beyond words can say for everything in my existence and all the opportunities He has given me, I would not have surpassed the obstacles and reach the finish line of the Master of Research and Development Program without his endless grace.

My acknowledgement also goes to my advisers, Professor Primo G. Garcia, PhD and Assistant Professor Leo Mendel D. Rosario, PhD for their guidance, patience, and for sharing their knowledge and expertise, despite of their hectic schedules, which helped me in completing this study and at the same time apply the knowledge I gained at my work.

I share this milestone with my wife, Carmina Delas Alas Olivenza, and my classmate in some of the course subjects of MR&DM. She is my confidant and ever supportive partner in life and in this course. To our toddler, Cyrus Stephen D. Olivenza, for giving us joy and inspiration with his sweet antics and natural creativity. You all enrich my life with the rigors of parenthood, family life, work and academics.

I also want to thank our parents for extending their support by taking care of our child at times we needed to focus on our studies. Your sacrifices are very much appreciated.

I'm also indebted to the National Tobacco Administration management, headed by our Administrator & CEO, Ms. Belinda S. Sanchez and Board Secretary, Atty. Gorgonio G. Obusan III for approving the research collaboration between UPOU and NTA; and Corporate Planning Manager Ms. Fortuna C. Benosa for sharing her insights and the topic for this research. Thank you for your trust and support in my research endeavor.

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## **Abstract**

The establishment of a Tobacco Research and Grading Institute (TRGI) is an essential provision of Republic Act No. 4155 for the development of the tobacco industry, for the future of its stakeholders and its potential contribution to national progress. Sustainable development goals (SDG) and innovation pathways must be considered in establishing an organizational structure for TRGI.

Republic Act No. 4155 or An Act to Promote and Strengthen the Virginia Tobacco Industry with provision for establishing TRGI from the Tobacco Fund was enacted 61 years ago on June 20, 1964 and up to the current year, 2025, TRGI has not been established. Tobacco is deeply rooted in Philippine history since colonial times and has been a significant contributor to Philippine agriculture and economy. According to the Bureau of Internal Revenue (BIR) Commissioner, Romeo Lumagui Jr., revenues from the country's tobacco likely reached USD 7.3 billion in 2024 and noted that in 2023 alone, taxes from tobacco products reached more than PHP 134 billion. Republic Act 9211 or the Tobacco Regulation Act of 2003, authorizes the use of a portion of tobacco taxes for health-related programs by the Department of Health (DOH), including allocations for universal healthcare. A portion of tobacco tax revenues is also allocated for the Tobacco Fund which is a special fund for tobacco research that has grown to PHP 92.3 billion as of May 2022.

Sadly, the Tobacco Fund remains unutilized for tobacco research, primarily because the institution which is mandated by law to use the special fund, the TRGI, has not been established. It is high time for the TRGI to be established to siphon funds into the research and development (R&D) programs in the tobacco industry.

The 0.39% GDP spending of the Philippines for R&D, which is below the 1% benchmark recommended by the United Nations Educational, Scientific, and Cultural Organization (UNESCO), can be improved by tapping the Tobacco Fund as provided for by RA 4155 through the TRGI.

The National Tobacco Administration (NTA), which inherited the mandates of the eight former tobacco agencies, including the establishment of TRGI must consider the SDGs in developing a new organizational structure for NTA that can accommodate the establishment of TRGI. Thus, the current NTA management must decide on the proper approach for establishing TRGI, considering the pillars of institution building, innovation pathways for sustainability, and responsible management of public funds.

The primary step would be to study the stakeholder perception on establishing TRGI, specifically to engage the NTA management who are the internal stakeholders, planners and decision-makers of the tobacco agency, through interviews and survey to empirically review the proposed options for a sustainable organizational structure. The result of the stakeholder perception study will serve as a nudge and guide for NTA management to conduct planning workshops and start the change management process for the establishment of TRGI.

Statistical analysis of survey results show that majority of NTA Management stakeholders are in favor of establishing the TRGI with the integrated type of approach.

## **Chapter I**

### **INTRODUCTION**

#### **Statement of the Problem**

Executive Order No. 245 issued on July 24, 1987 by then-President Corazon C. Aquino, merged all 8 tobacco agencies into the National Tobacco Administration (NTA), the sole government agency dedicated to handle all matters concerning regulation and research on tobacco in the Philippines. Thus, NTA inherited the mandates of all 8 tobacco agencies such as but not limited to the research and training functions of the Philippine Tobacco Research and Training Center (PTRTC) as well as the establishment of the Tobacco Research and Grading Institute (TRGI) mandated to the Philippine Virginia Tobacco Administration (PVTA) enacted in Republic Act No. 4155 or An Act To Promote And Strengthen The Virginia Tobacco Industry on June 20, 1964. Section 5 Financing of RA 4155 established a special fund, known as the Tobacco Fund, which shall be constituted by and collected from the proceeds of tariff or taxes of imported leaf tobacco and locally manufactured cigarettes. Section 5.4 provides the Tobacco Fund shall be expended for the establishment of the TRGI. Sixty years had passed by and the Tobacco Fund has accumulated a total of approximately 100 billion pesos (92.3 billion pesos as of May 2022). Several attempts were made by the different administrations and management of NTA throughout the years to establish TRGI with annual submission of its proposal by NTA's Corporate Planning Department (CorPlan) to the Department of Budget and Management (DBM) and the National Economic and Development Authority (NEDA), but until this year, no proposal

has ever been approved for TRGI establishment. Two department managers in NTA, who were interviewed during the preliminary phase of this study, brought out the issue that there are 2 different types of proposed organizational structure for the establishment of TRGI, the independent type and the integrated type. They pointed out that the opposing ideas of past administrations and members of NTA Management is reflected on the submitted proposals. The independent type of structure is less tedious to establish than the integrated type, requiring a simple organizational structure outside of NTA, but of questionable sustainability as it will only rely on the seasonal training fees from participants in grading seminars; while the integrated type is more tedious, requiring the process of change management for the whole NTA organizational structure, it is deemed more sustainable as multiple income-generation streams will be developed from R&D activities and products and the support services from other departments of NTA and resources from the Tobacco Fund are shared within the whole NTA organizational structure. This situation of opposing ideas for the TRGI establishment that exists is seen as a crisis in management decision that must be addressed and solved definitively. Through this stakeholder perception study on the establishment of TRGI, the 2 types of proposed structure can be assessed based on the informed decision-making of NTA Management members and a clear choice of the majority management stakeholders can be recommended for strategic planning and adoption by the Agency for a definitive approach in establishing TRGI.

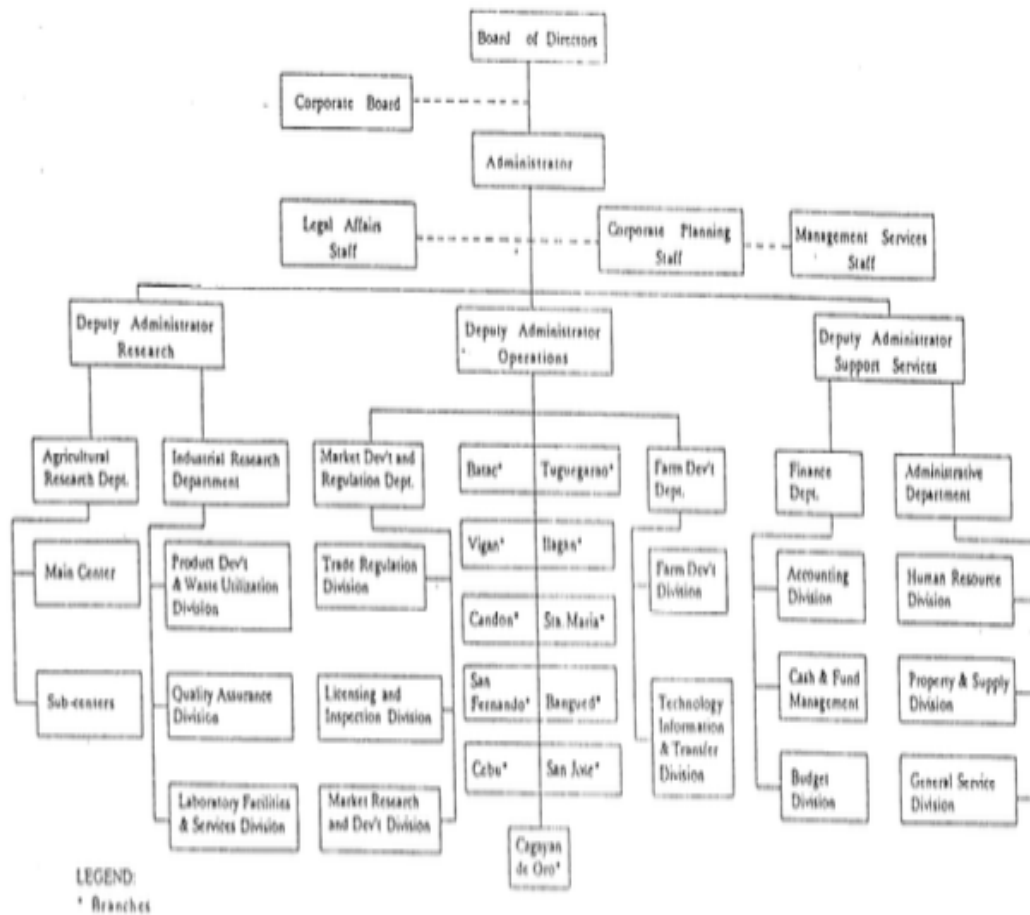
The establishment of a Tobacco Research and Grading Institute (TRGI) in the Philippines requires careful consideration of an effective organizational structure to ensure its success and sustainability. This study focuses on identifying the key components that will guide the design of an efficient organizational structure for the TRGI, taking into account the perception of stakeholders on goals, operations,

resources, and external factors such as government regulations and industry standards. The organizational structure should be designed in such a way that will enable the institute to conduct research, grading, and quality assurance for the tobacco industry, while also fostering innovation, knowledge exchange, and policy development.

Two distinct structures (integrated and stand-alone/independent) based on the past proposals for the establishment of Tobacco Research and Grading Institute (TRGI) and Tobacco Grading Institute (TGI), that provide different levels of interaction with employees and business value (Farr, 2011), will be surveyed with stakeholders, particularly the members of NTA Management who are the decision-makers of the Agency, for the purpose of getting the consensus of the majority and giving a clearcut choice to pursue between the two types of proposed structure for the establishment of the institute.

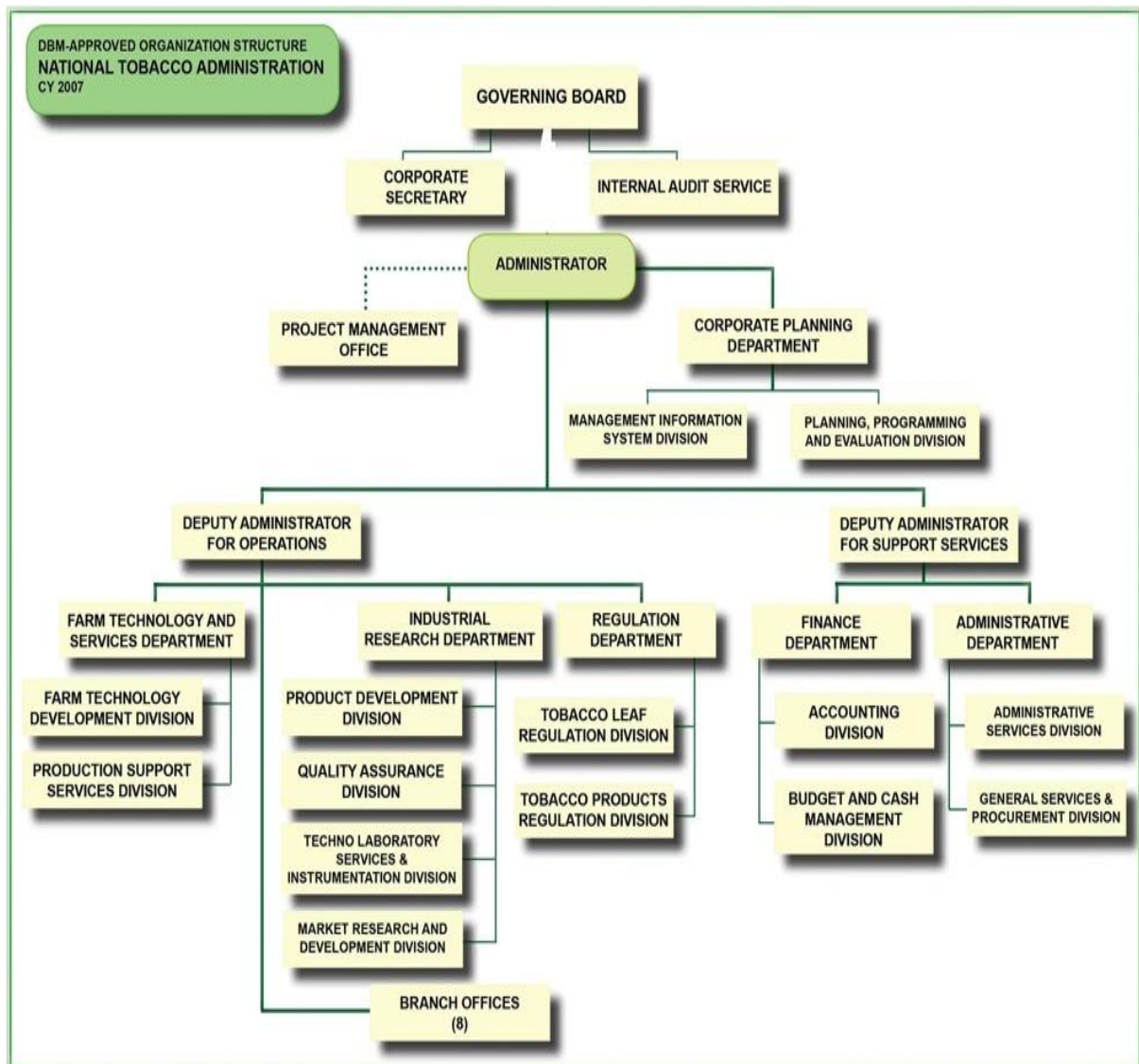
For the past 61 years since the enactment of Republic Act No. 4155 or An Act to Promote and Strengthen the Virginia Tobacco Industry with provision for the creation of a TRGI, no organizational structure plan has been approved by external agencies such as DBM and NEDA for its establishment. TRGI has never been included as a whole in the organizational structure of NTA but rather partially with the inclusion of the research components, namely the Agricultural Research Department (ARD) and the Industrial Research Department (IRD) under the Deputy Administrator for Research, as can be seen in the previous and current NTA organizational charts:

Figure 1. The original organizational structure of the National Tobacco Administration when it was formed in 1987.



The above chart (Figure 1) is the original organizational structure of the National Tobacco Administration when it was formed in 1987. TRGI has not been established at that time, but notably present is the Deputy Administrator for Research which served as the R&D arm of the then newly formed agency, continued the R&D functions of Philippine Tobacco Research and Training Center (PTRTC) and handled the Agricultural Research Department and the Industrial Research Department.

Figure 2. DBM-approved organizational restructuring of the National Tobacco Administration in 2007.



The above chart (Figure 2) is the DBM-approved organizational restructuring of the National Tobacco Administration in 2007 and continues to be its organizational structure up to the present year (2025). TRGI has not been established.

In order for NTA to fulfill its functions as both a regulatory and a research and development agency, and in pursuance of the ascribed provisions of RA 4155 which has accumulated approximately 100 billion pesos of Tobacco Fund, it is high time for NTA to harness its entitlement to the Tobacco Fund for research through the establishment of a TRGI either as an integrated organization within the existing research departments of NTA or as an independent organization.

Preliminary interviews are designed to gather primary data on the presented organizational management issues to be resolved which will then be subjected to the stakeholder perception survey. With the proper context of issues or concerns raised in preliminary interviews of NTA Management stakeholders formally taken into account, these can be processed through a stakeholder perception survey which will cover a wider spectrum of management band, from the executives (governing board, administrator and CEO, deputy administrators), managers (department, branch and project), division chiefs, and to the level of supervisors. The management band is a good mixture of old and new members of NTA management who can share their profound knowledge and insight as decision-makers and stakeholders.

To aid the present administration and management of NTA in reaching a clearcut decision on the approach for TRGI establishment, exploration of the 2 types of proposed structure shall be done through interviews and survey of stakeholders, particularly the members of NTA Management who are the core decision-makers in the sole government agency for tobacco. Stakeholder perception shall be based on the sustainability of integrated and independent types of organizational structure options vis-à-vis the essential pillars for institution-building (Cuyno, 1994) and mechanisms for establishment. Statistical analyses of survey data shall be done to facilitate objective understanding of survey results.

Notably, one of NTA's sustainable development goals (United Nations 2030 SDG 9 Industry, innovation and infrastructure) indicated in its Strategic Initiative is Organization/Restructuring Program, which is specifically stated as "Activity/Milestone no. 10: Develop a proposed Organizational Structure and Staffing Pattern (OSSP)" and mentions that the "GCG issued MC no. 2015-04 providing guidelines on the reorganization, rationalization and personnel planning in the GOCC sector" should serve as a guide in developing an organizational structure such as for the establishment of a TRGI.

Another United Nations 2030 SDG that could be addressed by NTA's establishment of TRGI is Goal 17 Partnerships for the goals – Technology (Fully operationalize the technology bank and science, technology and innovation capacity-building mechanism for least developed countries by 2017 and enhance the use of enabling technology, in particular information and communications technology). Through TRGI, the Tobacco Fund can be accessed to support research and development endeavors of NTA and research collaboration with other government research organizations as well as academic institutions can be explored for collaboration, thus, contributing to the Philippines' R&D output and reaching the recommended R&D spending reflected in the Global Innovation Index (GII).

### **Objectives of the Study**

To gather stakeholder perception data on the sustainability of integrated and independent types of organizational structure options based on the essential pillars for

institution-building (Cuyno, 1994) and results of survey that is acceptable to internal stakeholders of NTA, which can serve as a guide for the Change Management Team (CMT) to decide on the best approach for establishing and designing a sustainable organizational structure of a Tobacco Research and Grading Institute (TRGI) in the Philippines.

To identify key organizational components and mechanisms necessary for the establishment and sustainability of a TRGI.

### **Significance of the Study**

This stakeholder perception study offers insights into the optimal organizational structure for an institute that plays a crucial role in tobacco research and grading in the Philippines. The results and findings provide the general perspective of NTA management for the perusal of policymakers, researchers, and tobacco industry leaders in establishing a well-organized, efficient, and effective Tobacco Research and Grading Institute that meets the demands of the industry and aligns with government regulations. Additionally, this study contributes to the broader understanding of institutional design concept intertwined with innovation pathways concept in the context of specialized research bodies.

Republic Act No. 4155 mandates the creation of a Virginia Tobacco Research and Grading Institute under the Philippine Virginia Tobacco Administration (PVTA) as a training venue for tobacco researchers and graders. The promulgation of rules and regulations covering the nature and duration of the training is likewise vested in the

PVTA. The Act likewise provides for financial support known as the Tobacco Fund for the purpose, among others, of establishing the Virginia Tobacco Research and Grading Institute to be sourced from the collection of tariff and taxes on imported leaf tobacco and special taxes on locally manufactured Virginia type cigarettes or the excise tax on tobacco products.

The National Tobacco Administration (NTA) acquired the powers and functions of the PVTA, among other tobacco agencies, pursuant to Executive Order No. 116 and Executive Order No. 245. The NTA also acquired the research functions of Philippine Tobacco Research and Training Center (PTRTC) and continued to undertake agricultural and industrial research and development programs towards achieving its primary purpose of promoting a balanced and integrated growth and development of the tobacco industry to help make agriculture a solid basis for industrialization, among which is the establishment of Quality Assurance and Laboratory Building at Quezon City; the Soil and Water Laboratory in Batac City, Ilocos Norte, equipped with state-of-the-art laboratory instruments and equipment; and eight Farmers' Training Buildings in Regions I, II and CAR.

Recent developments in the tobacco industry with the passage of Republic Act No. 11900 or the "Vaporized Nicotine and Non-Nicotine Products Regulation Act" on July 25, 2022 requires technical laboratory services and expertise in the physical and chemical analysis of tobacco products such as that provided by NTA research laboratories and other private certifying laboratories. The NTA Quality Assurance Laboratory conducts tests and certifies to ensure that products meet industry standards; thus, there is an avenue for expansion of laboratory services with the potential for increased income generation. The Techno-laboratory and Instrumentation Services Division (TLSID) of NTA with laboratories in Quezon City and Batac City,

Ilocos Norte provides analytical services for soil, water and fertilizer analysis; analysis of nicotine, reducing sugar and chloride for tobacco leaf; and nicotine, tar and carbon monoxide of traditional tobacco products or cigarettes. To cope with the demands of RA 11900, TLSID can modify its existing laboratory equipment and acquire new ones to expand its services and accommodate the analytical services requirement of new-generation tobacco products. The Tobacco Fund can provide the needed funding for the acquisition of new laboratory equipment and to build new laboratory buildings to house the additional equipment and personnel as the current laboratory buildings have been built in 1979 and will need to be replaced in a few years' time.

NTA is classified as a Category I government-owned and controlled corporation (GOCC) which refers to a category within the Compensation and Position Classification System (CPCS) for GOCCs in the Philippines. Specifically, it denotes GOCCs that are deemed "not self-sustaining" or posting losses, and are reliant on subsidies from the national government. To improve its financial standing, NTA is actively pursuing its entitlement to the Tobacco Fund, which is a special fund with provision for the establishment of TRGI, by annually submitting proposals for the establishment of TRGI since 2019. The NTA Strategic Planning 2023-2028 workshop is aligned with the policy framework: Ambisyon Natin 2040; Sustainable Development Goals (SDGs) 2030, 8-Point Economic Agenda; and Strategic Plans: DA Multi-Year Plan 2023-2028. NTA is working towards aligning its activities with the Sustainable Development Goals (SDGs), particularly those related to sustainable agriculture, economic growth, and the well-being of tobacco farmers. The NTA's strategic plan focuses on sustainable local production, transforming small-scale farming, and enhancing productivity while ensuring the welfare of employees. The agency also supports tobacco farmers through various programs like the Tobacco Growers

Assistance Program and the Tobacco Growers Cooperative Program. One of the opportunities identified by the planning team is the availability of Tobacco Fund for the establishment of TRGI. Thus, establishment of TRGI is deemed important for the future and survival of NTA and its R&D programs as TRGI will serve as a siphon for the continuous flow of research funds sourced from the Tobacco Fund per Republic Act No. 4155.

For the future of the tobacco industry and its stakeholders and its potential contribution to national progress, sustainable development goals must be considered in developing an organizational structure for NTA that can accommodate the establishment of TRGI. By empirically reviewing the proposed options for a sustainable organizational structure, based on the essential pillars for institution-building and survey results among internal stakeholders, particularly the management team who are the core decision-makers in NTA, the establishment of TRGI can be pursued with a clear direction based on the perspective of the majority of respondents. Every question of the survey will be a nudge to help NTA Management in making a sustainable choice for the establishment of TRGI, either as integrated within the NTA organizational structure or as an independent organization.

### **Scope and Limitations of the Study**

The plan or agenda for research and its related activities would be limited to comparison of the two proposed organizational structure options (integrated and independent) for TRGI to determine which can be adopted for its establishment and long-term sustainability.

While it is important for other stakeholders' perspectives to be studied as well in the future, this study limited its focus on the stakeholder perspectives of members of NTA Management only as they are the distinguished decision-makers of the sole government agency for tobacco, who are considered well-versed on industry matters, needing the attention and decision of a government body with jurisdiction over the subject of this study, which is the establishment of TRGI. In the context of capturing the perception of stakeholders in the different sectors of the tobacco industry, notable is the participation in the survey of the NTA Directors as part of NTA Management and as duly appointed representatives of the different sectors of the tobacco industry in the NTA Governing Board, namely the tobacco manufacturers, farmers, academic community, and traders/exporters. As stated in Section 23 of The Duties and Obligations of NTA Directors and Officers, Directors and Officers are fiduciaries of the State in that: (a) they have the legal obligation and duty to always act in the best interest of the NTA, with utmost good faith in all dealings with the properties, interests and monies of the NTA, and (b) they are constituted as trustees in relation to the properties, interests and monies of the NTA. Thus, other stakeholders in the tobacco industry who may not share the same level of interest in establishing TRGI as they may be more inclined to discuss their concerns in other facets of the industry such as farming, trading, etc. are ensured of representation at the level of decision-makers in NTA. Of equal importance to be studied as well in the future is the perception of other stakeholders who may be directly affected by the establishment of TRGI, such as the employees within the NTA organization who will be affected by change management; researchers from other government agencies and academic institutions; local government units in tobacco growing regions; and the more than 430,000 farmers,

farm workers, and their family members, among the 2.2 million Filipinos who are financially dependent on tobacco.

Since the subject of this study is the establishment of TRGI in the Philippines, global best practices on sustainability may need to be adapted to the local context, as there may be variations in regulatory environments that influence the design of organizational structures in different jurisdictions.

## Chapter II

### RESEARCH AND DEVELOPMENT MANAGEMENT FRAMEWORK

The following are the R&D management concepts relevant to the conduct of the study:

**Structural Contingency Theory:** Organizational structure should align with the specific challenges and environment faced by the TRGI, including the nature of the tobacco industry, regulations, and technological advancements. Structural Contingency Theory (Donaldson, 2015) suggests that a large, complex organization might benefit from a more hierarchical structure like the integrated TRGI; while a smaller, more agile organization might thrive with a flatter structure like the independent TGI.

**Institutional Theory:** Understanding how external pressures, such as government regulations and public health advocacy, influence the structure of the institute in the Philippine setting. Institutional theory examines the processes and mechanisms by which structures, schemas, rules, and routines become established as authoritative guidelines for social behavior (Scott, 2005).

**Systems Theory:** Viewing the TRGI as an interconnected system where each department and function must work in harmony to achieve organizational goals. In *Systems Theory and Organizational Analysis*, Clawson (2008) explores how viewing organizations as complex, interconnected systems can provide a more holistic and effective approach to management and analysis. This perspective emphasizes the interdependency of organizational components and their interaction with the external environment.

## Operational Definition of Terminologies

**ARD.** Agricultural Research Department

**CMT.** Change Management Team

**Structural Contingency Theory.** Structural contingency theory holds that the effect on organizational performance of organizational structure depends upon how far the structure fits the contingencies, such as uncertainty, strategy, and size. (Donaldson, 2015).

**CPCS.** Compensation and Position Classification System

**CSC.** Civil Service Commission

**DA.** Department of Agriculture

**The Data Privacy Act of 2012** – officially known as Republic Act No. 10173, is a Philippine law designed to protect individual personal information in information and communications systems within both the government and private sectors. It aims to safeguard privacy while ensuring the free flow of information to promote innovation and growth. The law establishes the [National Privacy Commission \(NPC\)](#) as the primary regulatory body for its implementation and enforcement.

**DBM.** Department of Budget and Management

**Institutional Theory** – Institutional theory examines the processes and mechanisms by which structures, schemas, rules, and routines become established as authoritative guidelines for social behavior (Scott, 2005).

**Executive Order No. 116** – issued on January 30, 1987, by President Corazon C. Aquino, reorganized the Ministry of Agriculture and Food (MAF) into the Department of Agriculture (DA)

**Executive Order No. 245** – issued on July 24, 1987, by President Corazon C. Aquino, established the National Tobacco Administration (NTA) in the Philippines. This order consolidated all existing tobacco agencies and their functions into the NTA, aiming to promote the tobacco industry's development and improve the quality of life for those who depend on it (NTA History, available at <https://nta.da.gov.ph/about.html#:~:text=NTA%20History&text=In%20order%20to%20rationalize%20and,Cagayan%20%2D%20Tuguegarao>).

**IRD.** Industrial Research Department

**FTSD.** Farm Technology and Services Department

**GCG.** Governance Commission for Government-Owned or Controlled Corporations

**GOCC.** Government-Owned and Controlled Corporation

**NEDA.** National Economic and Development Authority

**NTA.** National Tobacco Administration

**OSSP.** Organizational Structure and Staffing Pattern

**PTRTC.** Philippine Tobacco Research and Training Center

**PVTA.** Philippine Virginia Tobacco Administration

**Stakeholder** – A person, group or organization with a vested interest, or stake, in the decision-making and activities of a business, organization or project. In this study, it refers to internal stakeholders in NTA, particularly NTA executives and management officers who are interviewed and survey respondents.

**Sustainable Development Goals** – The 2030 Agenda for Sustainable Development, adopted by all United Nations members in 2015, created 17 world Sustainable Development Goals. The aim of these global goals is "peace and prosperity for people and the planet" – while tackling climate change and working to preserve oceans and forests.

**Systems Theory** – In *Systems Theory and Organizational Analysis*, Clawson (2008) explores how viewing organizations as complex, interconnected systems can provide a more holistic and effective approach to management and analysis. This perspective emphasizes the interdependency of organizational components and their interaction with the external environment.

**TGI.** Tobacco Grading Institute

**TLSID.** Techno-laboratory and Instrumentation Services Division

**Tobacco Fund** – Signed on June 20, 1964, RA 4155, entitled “An Act to Promote and Strengthen the Virginia Tobacco Industry,” established the tobacco fund that will be annually set aside by the national government from the General Appropriations Act. As of May 2022, the computed net tobacco fund under RA 4155 was already reaching P92.3 billion (Valdez, 2023).

**TRGI.** Tobacco Research and Grading Institute

**VAPE Law.** Republic Act No. 11900 or the "Vaporized Nicotine and Non-Nicotine Products Regulation Act" on July 25, 2022 requires technical laboratory services and expertise in the physical and chemical analysis of tobacco products

## CHAPTER III.

### METHODOLOGY

#### Research Setting

**Locale of the Study.** Internal stakeholders of NTA based on the CPCS Career Bands from executive level to supervisory level from NTA central office and branch offices.

**Respondents of the Study.** Participatory mechanisms were employed for the active involvement of internal stakeholders in NTA (based on CPCS Career Bands from executive level to supervisory level, including officers-in-charge in acting capacity, approximately 50 management positions out of the total 353 plantilla of NTA central office and branch offices) via individual interviews and online survey forms for a holistic approach to project assessment.

**Sampling Procedure.** Qualitative research sampling involved the purposeful selection of participants from the members of NTA Management cluster to provide rich, in-depth information relevant to the research questions on stakeholder perception for establishment of TRGI. This cluster of survey participants is chosen because they belong to the career management band which are the decision-makers of the agency under study.

## Data Gathering

**Expert Interviews:** One-on-one semi-structured interviews were conducted with five members of NTA top management and department managers, who are experienced experts in their respective fields in tobacco research, planning and organizational management. These preliminary interviews revealed the problems of the Agency, and a common dilemma that emerged is the entitlement of NTA to the Tobacco Fund. For NTA to be fully entitled to the Tobacco Fund, the provision of RA 4155 for the establishment of a Tobacco Research and Grading Institute must be fulfilled. Proposals were submitted by the previous and present administrations of NTA to DBM and NEDA, but none of the proposals had been approved. The Tobacco Fund is a special fund with provisions for research funding and the interviewed members of NTA Management believe the NTA should pursue its entitlement by establishing a tobacco institute. Representatives from a polytechnic state college backed by politicians had recently expressed their interest in establishing a tobacco research center and asked NTA for its opinion regarding the matter. Members of NTA Management expressed concern that allowing an academic institution to establish their own tobacco research center may be in conflict with the mandates of NTA as the sole government agency dedicated to handle all matters on tobacco. It is hoped by the interviewed stakeholders to resolve first the issue of determining which organizational structure type to pursue for the establishment of the tobacco institute prior to developing the organizational structure.

**Stakeholder (from top management to supervisory level of management) consultation through interviews and survey** in collaboration with the Corporate Planning Department (CorPlan) to check the pulse on their level of agreement to the establishment of TRGI as integrated with existing research departments (IRD and

FTSD) or TGI as an independent organization, and to capture the different perspectives of stakeholders which will reflect the overall sentiment towards TRGI. The output of the stakeholder consultation can serve as a baseline for designing a responsive organizational structure of NTA for the establishment of a TRGI or a TGI that is aligned with sustainable development goals of the government.

**Literature Review:** Annual proposals for the establishment of a TGI and a TRGI were reviewed and analyzed. NTA history and structures from its creation in 1987 and its rationalization in 2007 were reviewed. A review was also done on an organizational case study on the former tobacco research agency, entitled, “The Philippine Tobacco Research and Training Center: A Case of Organizational Downsizing” by Nelson J. V.B. Querijero, pages 192-194, Chapter 6, Behavior of Research Organizations. Philippine Cases in Agriculture and Natural Resources.

## **Data Analysis**

Recurring statements that surfaced from the preliminary interview data were identified, which showed the different proposals for the establishment of TRGI that may be grouped into two organizational structure options, the integrated type in favor of a Tobacco Research and Grading Institute (TRGI) and the independent type in favor of a Tobacco Grading Institute (TGI). The two different organizational structures proposed for the establishment of a tobacco institute in the Philippines were used as subject in the stakeholder perception survey.

**Statistical Analysis:** For survey data, statistical tests were used for analysis.

**Table 1***Summary of Statistical Tests Used*

<b>Part</b>	<b>Statistical Test</b>	<b>Purpose</b>
<b>Part I:</b> Awareness of RA 4155 & Agreement to Establish TRGI	Descriptive statistics (frequencies, percentages)	To count and summarize stakeholder responses (Yes/Maybe/No) on the establishment of the TRGI.
	Descriptive Statistics (Mean, Standard Deviation)	To summarize the central tendency and variability of the awareness level on RA 4155 provision (TRGI).
	Chi-square Test of Independence	To test whether awareness level is significantly associated with decision to support TRGI establishment.
<b>Part II:</b> Preferred Organizational Structure (Integrated vs Independent)	Chi-square Goodness of Fit Test	To test if the observed preference (92.86% Integrated vs. 7.14% Independent) is significantly different from an even 50/50 distribution.
	Descriptive Statistics (Frequency Distribution)	To determine which organizational structure (Integrated vs. Independent) is preferred by NTA stakeholders for the establishment of TRGI.
	Descriptive Statistics (Mean $\pm$ SD of Sustainability Ratings)	To assess stakeholders' perception of the sustainability of both structures across the 7 pillars of institution-building.
	Paired Samples T-Test (or Wilcoxon Signed-Rank Test)	To determine if the differences in mean scores between Integrated and Independent TRGI per pillar are statistically significant.
<b>Part III:</b> Sustainability Ratings per Pillar	Paired Sample t-test or Wilcoxon Signed-Rank Test (if not normal)	To compare the sustainability ratings of integrated vs independent structures across each of the 7 pillars
<b>Part IV:</b> Stakeholder Engagement Ratings	Descriptive Statistics (Frequency and Percent)	To determine the most and least engaged areas of contribution among NTA management stakeholders.
	Chi-square Test of Independence	To examine if engagement levels vary significantly by demographic variables (Management Level, Department, Area of Assignment).

**Comparative Analysis:** Part III of the survey is “Sustainability Likelihood Rating of Two Types of Organizational Structure for the Establishment of a TRGI” to determine which can be adopted for long-term sustainability. The pillars of institution-building in research system (Cuyno, 1994) were used in assessing the two types of organizational structure options for TRGI.

### **Ethical Considerations**

To ensure participant well-being and maintain research integrity, key aspects were incorporated in the conduct of this study, including informed consent, confidentiality, and responsible data handling in accordance with the Data Privacy Act of 2012, officially known as Republic Act No. 10173.

To determine the main problem that is the subject of this special problem study with impartiality, initial interviews were conducted with key members of NTA Management. The primary data gathered from interviews and the historical facts about NTA served as the basis of the stakeholder perception survey which covered the whole NTA Management band.

The researcher is also part of NTA management and did not participate in the survey proper to avoid bias that may affect the integrity of survey results.

Due respect is also given to NTA Management by obtaining approval for the conduct of this study through a Memorandum of Agreement between the University of the Philippines – Open University and the National Tobacco Administration.

## Chapter IV

### RESULTS AND DISCUSSION

#### **Main Problem Identified in the Interview of Key Stakeholders**

**Non-adoption of proposed organizational structures.** The main problem identified by key stakeholders interviewed that is one of the root causes of TRGI non-establishment is the two types of opposite approaches proposed by the different NTA administrations and management that had come and gone.

Earlier proposals in 2019 and 2020 were of the independent type of organizational structure or the establishment of a Tobacco Grading Institute (TGI) only, which argued that the research component of the institute is already fulfilled by the existing research departments in NTA, namely the Industrial Research Department (IRD) and the Farm Technology and Services Department (FTSD). Succeeding proposals in 2022, 2023 and 2024 were of the integrated type of organizational structure as ascribed by the provision in RA 4155, which is the establishment of a Tobacco Research and Grading Institute (TRGI) that can be integrated within the organizational structure of NTA under the Deputy Administrator for Research as seen in the original organizational structure of NTA in 1987 (See Figure 1). The opposing proposals of the different administrations and management of NTA created this dilemma in establishing a tobacco institute in the Philippines and it is high time for the current administration and management of NTA to objectively choose which of the two proposals has long-term sustainability and is worthwhile to pursue.

## Stakeholder Perception Survey

The stakeholder perception survey on organizational structure options for the establishment of a tobacco research and grading institute in the Philippines was conducted online on Google Form platform which targeted approximately 50 members of NTA Management from the Central Office and Branch Offices from May 22 to July 2, 2025. It served as an opportunity for NTA management members to voice their thoughts and ideas, helping to capture the majority's choice on how to establish the tobacco institute ascribed by RA 4155 to the tobacco agency.

Socio-demographic profile of respondents are shown in Figures 3, 4, 5, 6, and 7:

Figure 3. Age of Survey Respondents

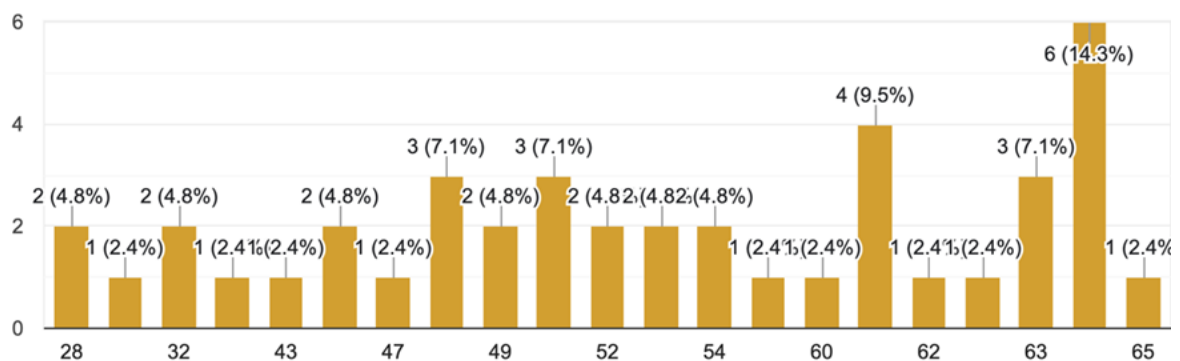


Figure 3 shows age of survey respondents ranged from 28 years old to 65 years old. The most number of respondents belong to the 60 to 65 years old age bracket, which totaled 17 out of 42 respondents, representing 40% of total number of respondents.

Figure 4. Gender of Survey Respondents

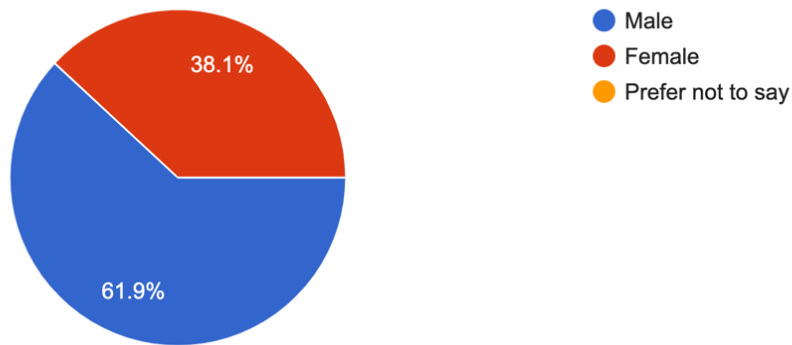
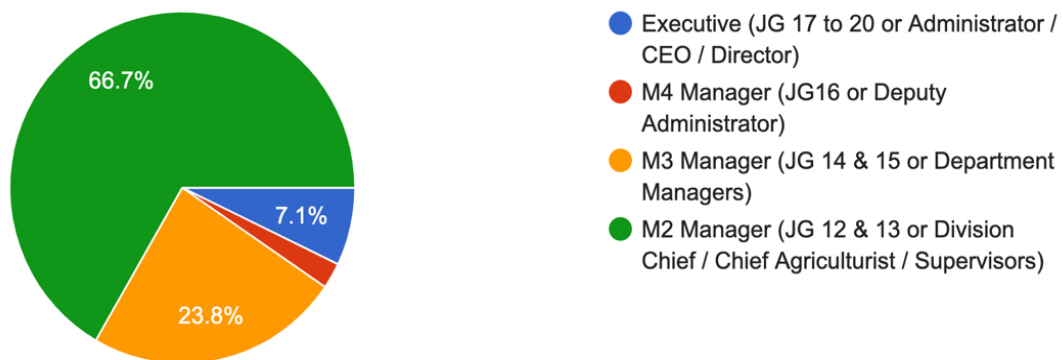


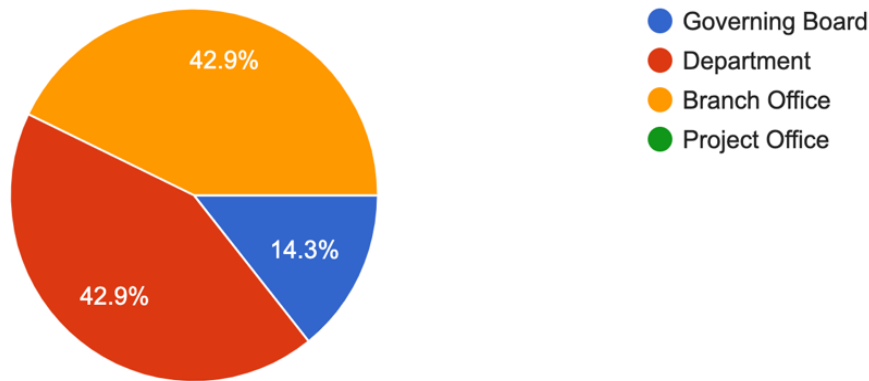
Figure 4 shows the gender of survey respondents. There were more male respondents than female participants, broken down to 62 males and 38 females.

Figure 5. Management Level of Respondents



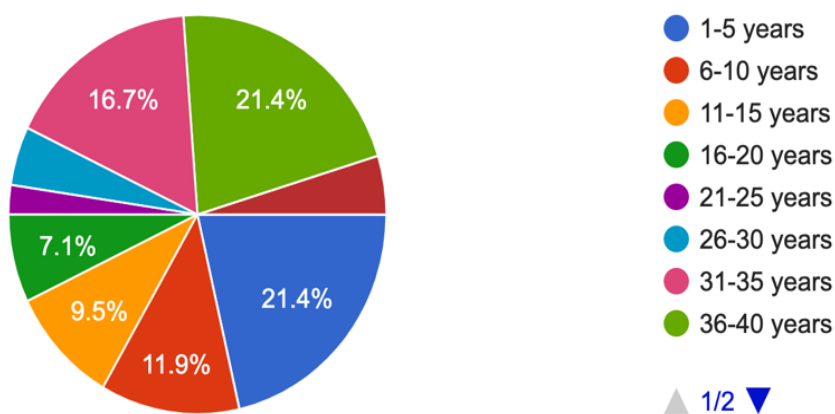
Management level of respondents are spread across all career bands according to the Compensation and Position Classification System (CPCS) for GOCCs. Most respondents belong to the lowest bracket, M2 Manager band, with the most number positions comprising of division chiefs, chief agriculturists and supervisors (Figure 5).

Figure 6. Areas of assignment of survey respondents



Areas of assignment of survey respondents are spread equally at 42.9% each in departments and branch offices and with only 14.3% from the governing board as it is the smallest group among the areas. No respondents from the Project Office as the officers-in-charge assigned are acting on concurrent capacity and holding other plantilla items in the NTA organization (Figure 6).

Figure 7. Number of years in the tobacco industry



For the number of years in the tobacco industry, the highest number of respondents are balanced with 21.4% both for respondents in the 1-5 years and 36-40 years brackets (Figure 7).

## **Statistical Analysis of Survey Data – Part I – IV**

**Four parts of the survey proper.** The survey consists of four parts. Each part has a background briefier to introduce the question that is designed to be answered with a given selection of yes/no/maybe or rating scores of 1, 2, 3, 4 and 5, and followed by a “briefly explain your answer” field where respondents can elaborate on their answers and freely express their opinions or suggestions that are not provided in the answer selection, to wit: Part I. Stakeholder Awareness and Understanding of Republic Act No. 4155 Provision for the Establishment of a TRGI; Part II. Selection of a Sustainable Organizational Structure for the Establishment of a TRGI; Part III. Sustainability Likelihood Rating of Two Types of Organizational Structure for the Establishment of a TRGI; and Part IV. Stakeholder Engagement in the Institution-Building Plan for the Establishment of a TRGI.

### **Part I. Stakeholder Awareness and Understanding of Republic Act No. 4155 Provision for the Establishment of a TRGI**

A brief background was given on Republic Act No. 4155 with provision for the creation of a Tobacco Research and Grading Institute (TRGI) from the Tobacco Fund as an inherited mandate by the National Tobacco Administration (NTA). Then, the first question, “Prior to your participation in this survey, how do you rate your level of

awareness of RA 4155 and its provision for the establishment of a TRGI from the Tobacco Fund?” was given to be answered by respondents on the awareness rating scale of 1 (very unaware) up to 5 (very aware) followed by “Briefly explain your answer” to freely express ideas. The second question posted is “Do you agree with NTA pursuing the establishment of a TRGI and its entitlement to the Tobacco Fund?” with an answer selection of yes/no/maybe and “Briefly explain your answer” field to freely express ideas. A brief background was also given on a state polytechnic college which recently expressed their interest in establishing a TRGI in their campus and asked for NTA’s stand regarding this matter before posting the third question, “Do you agree with NTA giving up or relinquishing its inherited mandate to the state polytechnic college for establishing a TRGI along with its entitlement to the Tobacco Fund?” followed by yes/no/maybe answer selection and “Briefly explain your answer” field to freely express ideas. Survey results data are analyzed through various methods of descriptive statistics and inferential statistics.

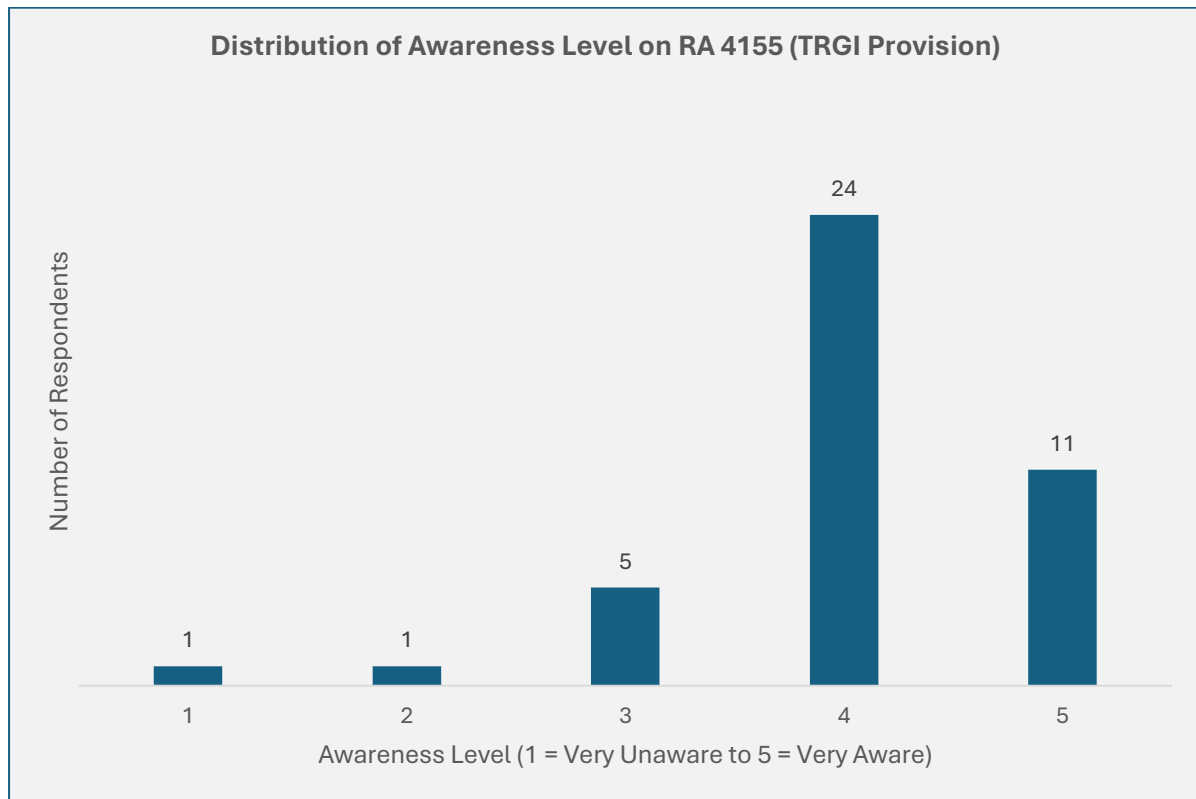
Survey participants are members of NTA Management, and their Awareness Level on RA 4155 provision for establishment of TRGI is shown in descriptive statistics in Table 2, and the Distribution of Awareness Level is shown in Figure 8.

**Table 2**

*NTA Management’s level of awareness on RA 4155 provision for establishment of TRGI*

	<b>Mean</b>	<b>Standard Deviation</b>
Awareness Level	4.02	0.84

Figure 8. Distribution of Awareness Level on RA 4155 (TRGI Provision)



**Interpretation:** A mean of **4.02** suggests that, on average, respondents are **very aware** of RA 4155. The **standard deviation of 0.84** reflects a **moderate spread** of responses around the mean. Most ratings are likely within: **4.02 ± 0.84** → **between 3.18 and 4.86**.

Survey participants were asked on their **decision** if they agree with pursuing the establishment of TRGI. Table 3 shows the summary of awareness and decision of participants. A high percentage of respondents, 95%, agree with pursuing the establishment of TRGI.

**Table 3***Awareness and Decision on TRGI Establishment*

<b>Decision</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	40	95.24%
Maybe	1	2.38%
No	1	2.38%

Table 3 shows how many stakeholders said "Yes", "No", or "Maybe" to the TRGI establishment and their corresponding percentages. Majority of the participants expressed their agreement with the establishment of TGRI.

**Table 4**

*Cross-Tabulation of Awareness Vs Decision breaks down the distribution of responses by awareness level and TRGI decision*

<b>Awareness</b>	<b>Maybe</b>	<b>No</b>	<b>Yes</b>	<b>Total</b>
1	0	0	1	1
2	0	0	1	1
3	0	0	5	5
4	1	0	23	24
5	0	1	10	11

Table 4 breaks down the distribution of responses by awareness level and TRGI decision and then in cross-tabulation and relationship test to test whether

awareness is significantly associated with decision on TRGI establishment. Null Hypothesis ( $H_0$ ): Awareness level is not associated with TRGI decision. Alternative Hypothesis ( $H_1$ ): Awareness level is associated with TRGI decision.

**Table 5**

*Contingency tables for decision on TRGI*

Awareness Rating	Decision on TGRI			Total
	Maybe	No	Yes	
1	0	0	1	1
2	0	0	1	1
3	0	0	5	5
4	1	0	23	24
5	0	1	10	11
<b>Total</b>	1	1	40	42

**Table 5.1**

$X^2$  Tests

	Value	df	P
$X^2$	3.61	8	0.891
N	42		

Table 5 shows results of contingency tables for decision on TRGI. Table 5.1 shows  $X^2$  Tests result interpretation  $p\text{-value} = 0.891 > 0.05$ , thus awareness level is not associated with TRGI decision.

**The participants' opinions and suggestions on the proposed organizational structures (gathered in the “Briefly explain your answer” fields of Part I).**

The survey participants are all part of NTA Management and survey results revealed that majority of respondents agree with NTA pursuing the establishment of a TRGI and its entitlement to the Tobacco Fund and adopting the integrated type of organizational structure or the Tobacco Research and Grading Institute. Only 1 of the 42 respondents answered negatively as the respondent is a believer of the independent type of organizational structure or TGI and argued that “only TGI may be created (but still subject to sustainability issues). The research component required by law was addressed with the creation of the Industrial RD and the FTDD-FTSD for agricultural research during the rationalization of the NTA in 2007. Even earlier during the merger of the 8 tobacco agencies into the NTA, the functions of the former PTRTC were absorbed by NTA. Currently, only the creation of a Grading Institute is yet to be addressed. If TRGI is to be established, how will NTA IRD and FTDD-FTSD be treated? The same will require extensive restructuring on the part of NTA to abolish said units, to avoid duplication and overlapping of research functions. Earlier attempts by the previous NTA administration to request funding from the DBM was only for the establishment of a Tobacco Grading Institute.”

Most of the participants pointed out that the establishment of TGRI is supported by a legal mandate, can improve standards and farmers' situation as well as make use of the Tobacco Fund for research. Notable comments and suggestions of participants in NTA include the following:

“As the establishment of a TRGI for the tobacco industry is expressly provided under the law, particularly RA 4155, it must be so enforced;”

“Utilizing the "many-year old" Tobacco Fund will be helpful for the tobacco industry specially for the Tobacco Farmers instead of leaving it unutilized;”

“The establishment of a TRGI supports NTA's mandate regarding the conduct R&D programs (RA 9211 Section 33 - Tobacco Regulation Act 2023) and strengthen the agency's power to promulgate and enforce rules and regulations on the production, standardization, classification, grading and trading of tobacco and tobacco products (EO 245);”

“It helps the agency in the implementation of projects for the tobacco farmers thru budget purposes;”

“The establishment of TRGI is the only remaining among other several purposes of RA 4155 and it must be pursued. It is the only reason why NTA is still receiving subsidy from the tobacco fund;”

“For the improvement of tobacco production and trading which will redound to the benefit of tobacco farmers and the tobacco industry as a whole;”

“It is mandated by law, and thus must be complied with;”

“Yes, it is reasonable for the National Tobacco Administration (NTA) to pursue the establishment of a Tobacco Research and Grading Institute (TRGI) and to be entitled to allocations from the Tobacco Fund to improve grading standards of tobacco

and assure its good quality for the welfare of the tobacco farmers and for our produce to be globally competitive;”

“So the fund can be used as intended;”

“It is needed for the improvement and sustainability of the tobacco industry;”

“To sustain the Philippine tobacco industry;”

“Part of our mandate;”

“NTA is better suited to create this TRGI;”

“The TRGI clearly advances research, production, and farmer welfare goals;”

“It is stated in our mandate. However, the establishment is dependent on how easily the NTA's plantilla of personnel can be restructured;”

“Pursuing the establishment of a TRGI and its entitlement to the Tobacco Fund will significantly support the tobacco industry and its stakeholders. As stipulated in Republic Act No. 4155, the fund can be used for operational, office, and field expenses, including the establishment of a Tobacco Institute. This fund could lead to: increased productivity and quality of tobacco, more research into disease-resistant varieties, the exploration of other uses for tobacco, and a more robust and competitive tobacco industry;”

“It could be a center for learning, focusing on our main crop. We can use this to uplift the standards and upskill the quality of our employees at the same time empower them to find opportunities to study further on the crop and make innovations.”

Most of the participants believe that the task of establishing TGRl remains with NTA as provided by law. Transferring it to another agency can lead to organizational inefficiencies and potential misuse of the funds. Notable comments and suggestions of participants if it is agreeable for NTA to relinquish its mandate of establishing TRGI to a polytechnic state college include:

“The law explicitly provides for the NTA to establish a TRGI, and to exercise exclusively authority for its operation, research and grading being key components of its functions; henceforth, it cannot just be delegated to any entity, an SUC included, without breach of the provisions of RA 4155 on this matter;”

“The NTA's core responsibility is to regulate and promote the tobacco industry, and overseeing a TRGI aligns with this mandate. Transferring control to ISPSC raises concerns about accountability, transparency, and the potential for misuse of the Tobacco Fund. It also introduces conflicts of interest due to ISPSC's dual role in research and education, which could compromise research objectivity and increase tobacco industry influence;”

“The NTA has its programs and the jurisdiction in the tobacco commodity, I believe it is proper that the NTA will handle the project;”

“The primary mandate of State Universities and Colleges (SUCs) in the Philippines is to provide quality higher education, research, extension services, and production activities and NTA is the sole agency for tobacco;”

“Already included in the mandate of the Agency;”

“NTA ONLY has the mandate to establish the TRGI;”

“The NTA is the sole government agency mandated to undertake research and development for the improvement of the industry. NTA is the only government agency not prohibited by the Joint Memo of CSC and DOH from dealing with the tobacco industry as an exemption thereto by reason of its regulatory and supervisory interaction with the regulated entities. Educational institutions are prohibited from engaging with the tobacco sector;”

“That is the function of NTA and establishment of another TRGI in any government entity is a duplication of work and function;”

“It is explicitly stated under the law that only PVTA, now inherited by the NTA has the sole right of establishing such TRGI;”

“it all depends on the decision of the top management;”

“No because NTA has among its functions research and development and RA 4155 has specific purpose;”

“NTA must be the one to establish TRGI not other institution;”

“It is part of the Power and function of NTA that were absorbed during the merge of 8 distinct govt. agencies that dealt with the industry. Thus, NTA became the sole government body that oversees and regulates the growth and development of the tobacco industry and to look after the welfare of marginalized farmers;”

“There should be a MOA between NTA & ISPSC;”

“Establishment of the Tobacco Research and Grading Institute should be solely developed by the National Tobacco Administration, by structure, by learning;”

“Any government fund on tobacco should be administered by NTA being the sole regulatory body of the Tobacco Industry;”

“The NTA should not give up or relinquish its inherited mandate to ISPSC for establishing a TRGI or its entitlement to the Tobacco Fund. Instead, the NTA should welcome and actively pursue a strong collaborative partnership with ISPSC. This collaboration could involve the joint establishment and operation of the TRGI, with the facility physically located at ISPSC but under the oversight and direction of the NTA;”

“Experts are developed through experience and years of training. NTA personnel can better handle it. With a few enhancements and retooling on skills such as handling an educational institution;” and

“NTA is the sole agency vested the mandate to regulate all tobacco-related activities.”

## **Part II. Selection of a Sustainable Organizational Structure for the Establishment of a TRGI**

A brief background was given to survey participants regarding the need for NTA Management to evaluate and empirically verify proposals to clearly decide on its directional strategies by initially choosing between two types of proposed organizational structures, an integrated type and an independent type. Then, the integrated type of organizational structure for TRGI within NTA was described in Part IIA and the independent type of organizational structure for TGI, as a separate entity from NTA was described in Part IIB. Comparative description of the two types of organizational structure options for the establishment of a TRGI/TGI based on time frame, mode of establishment, mechanisms of institution-building, and means of income-generation was shown in a table in Part IIC.

On this part of the questionnaire, survey participants were asked to choose, considering the development time frame and mode of establishing the institute, which they think is worth-while to pursue, long-term integration of TRGI in NTA involving change management process or short-term creation of independent TGI. Then, a followup question was given for participants if they can identify other income-generating activities/services for sustainability of both TRGI and TGI to gather their ideas and suggestions. Then, participants were asked which organizational structure option do they think is more sustainable for the establishment of a TRGI in the Philippines, an integrated type (TRGI) or an independent type (TGI) followed by a “Briefly explain your answer” to elicit more ideas.

The survey data on NTA Management’s **choice** of a Sustainable Organizational Structure for the Establishment of a TRGI, whether **integrated** type or an

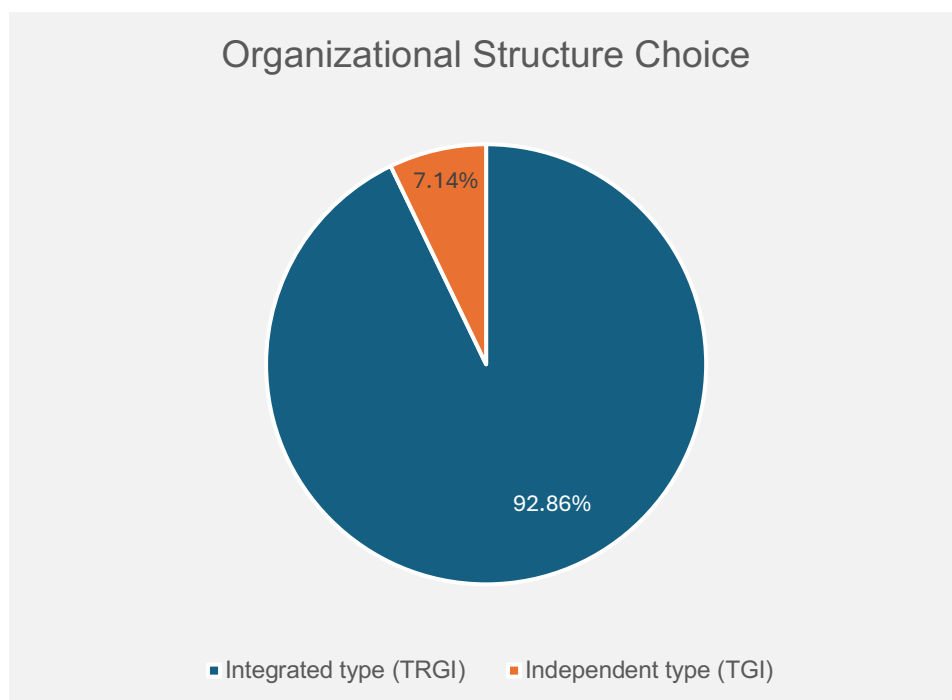
**independent** type, are analyzed in Table 5, which presents the frequency table of organizational structure choice. A high percentage of respondents at 92.86% chose the Integrated type (TRGI) of organizational structure. Figure 9 shows a pie chart representation of structure choice.

**Table 6**

*Frequency Table of Organizational Structure Choice*

<b>Organizational Structure</b>	<b>Frequency</b>	<b>%</b>
Integrated Type (TRGI)	39	92.86%
Independent Type (TGI)	3	7.14%

Figure 9. Pie chart for organizational structure choice.



**The participants' opinions and suggestions on the proposed organizational structures (gathered in the “Briefly explain your answer” fields of Part II).**

In Part II.A.1, a snapshot of a proposed TRGI organizational structure under a Deputy Administrator for TRGI (DAT) was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational structure or they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“NTA is limited to 350++ positions under the current organizational structure and staffing pattern. any changes in the structure may be done but thru scrap and built scheme only, maintaining the same number of authorized positions. the only justification for DBM and GCG to authorize the creation of new positions is if NTA can show that the institute can sustain its own operational expenses from internally generated income from the TRGI;”

“None, I am fine with the presented organizational structure;”

“The modification is the addition of more divisions which may be clustered. there is a need to identify first the functions of each division to be able to identify what are the necessary divisions that should be created;”

“The Agricultural and Biosystems Engineering Division will be incorporated under the Farm Technology and Services Department. Its responsibilities will encompass Farm Mechanization and Post-Harvest Technology, Irrigation and Drainage Systems, and Rural Electrification and Structures.”

In Part II.A.2, a snapshot of a proposed organizational chart under a Deputy Administrator for Support Services (DASS) was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational chart

and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“None, I am fine with the presented organizational structure;”

“Administrative services division is recommended to have section on the ff learning and development since it caters to all employees, records section, GAD section, medical and health and in the GSPD general services and BAC.”

In Part II.A.3, a snapshot of a proposed organizational structure under a Deputy Administrator for Operations (DAOP) was shown to participants. The organizational chart included additional branch offices in Visayas and Mindanao with increased number of extension workers proportional to the population of tobacco farmers, the creation of Non-Traditional Product Regulation Division for novel and next-generation tobacco products, and the transfer of IRD and FTSD under DAOP to under DAT. Participants were asked if they agree or not. If they do not agree with the presented organizational structure and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“The industrial research department and regulation department should be included in the organizational structure of the TRGI;”

“Removing the non-traditional products regulations division (these products are not regulated by NTA according to existing laws;”

“What non-traditional products are we going to regulate, are these vapes, isn't it being regulated by FDA or DTI?;”

“As far as I know and as for my own opinion, Trading, Research and Grading Institute should be handled by a separate body who have the education to teach, ensure good learning process, about the tobacco industry, it's a separate institution to

educate future employees for better appreciation of the industry to pursue its mandate;”

“DAOP will be in charge on the Tobacco Growing Production side only that includes other projects in support to the farmer in their tobacco growing.”

In Part II.A.4, a snapshot of a proposed organizational structure under an Internal Audit Department (IAD) was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational structure and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“I am fine with the presented organizational structure;”

“The Department concerned are in the best position to identify their Division. Research audit may require personnel with the same expertise;”

“No need for research div, its not within the mandate of IAD;”

“To have check and balance on the implementation for every department/division.”

In Part II.A.5, a snapshot of a proposed organizational structure under a Corporate Planning Department (CorPlan) was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational structure and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“The Strategic and Operational Planning Division should be merged. The Business Dev Planning Division should be placed under the Finance Department as an Income Generating Division and should be named as BUSINESS DEVELOPMENT OFFICE/DIVISION;” “The current Planning, Programming and Evaluation Division should be retained, an additional division would be Monitoring and Management

Division (there's a law to back-up) not the same function as the MISD, Financial and Business Development should be separate unit, like Project Devt. Division;”

“Business and strategic can be consolidated as one, one planning division, add management division, MISD remains;”

“Add operations planning included monitoring and evaluation division.”

In Part II.A.6, a snapshot of a proposed organizational structure under a Legal Affairs Office (LAO) was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational structure and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“Creation of the Office of the Litigation Officer (to handle all cases involving the NTA, who may not be the Head of the Legal Affairs Office), acting under the direct control and supervision of the LAO Head;”

“I am fine with the presented organizational structure;”

“PR and Marketing may join together in another department / unit;”

“IPRO, data protection and sustainability can be consolidated as one, marketing should be included in trading.”

In Part II.B, a snapshot of a proposed organizational structure for an independent type of organizational structure for TGI, as a separate entity from NTA, was shown to participants and they were asked if they agree or not. If they do not agree with the presented organizational structure and they want to modify, they are asked to suggest changes and to briefly explain their answer. Notable comments and suggestions include:

“It should be integrated with the structure of NTA;”

“The Head will be Deputy Administrator for TRGI and there will be Divisions: 1) Training Management and Services Division; 2) Library Div and 3) Comm Div;”

“Admin and finance concerns should be left to support services. TRGI should concentrate purely on research, education and training functions only. since the highest official is a director IV level, she/he must be appointed by the president and should require career executive service eligibility with at least 3 years teaching experience in a university;”

“Under the structure of NTA;”

“The industrial research department as well as regulation department should be included in the organizational structure of the TRGI;”

“TGI must not function as a separate entity from NTA;”

“Additional budget cost for an additional organizational structure;” and

“Training information, training facility and can be consolidated as one, career development partnership and accreditation can be added.”

### **Part III. Sustainability Likelihood Rating of Two Types of Organizational Structure for the Establishment of a TRGI**

In the Part III of the questionnaire, a brief introduction was given for the understanding of respondents before the questions for sustainability were laid out:

“Organizational resources and mechanisms must be in put in place for the successful establishment of the proposed TGRI organizational structures (pillars of institution-building, change management team, approval from DBM NEDA CSC GCG DA, etc.).”

“As government workers and officials entrusted with public resources, such as the accumulated Php 92.3 billion Tobacco Fund as of May 2022, proper ethical behavior dictates that public sector workers act in such a way that best serves the interest of the public. This involves sound policy decision-making for the people on its behalf (Hall, 2017).”

“The establishment of a TRGI, pursuant to the provision of RA 4155, requires careful consideration of an effective organizational structure to ensure its success and sustainability.”

“The second part of this survey focuses on the 7 pillars of institution-building which are essential components for the creation of an institution-building plan aligned with the United Nations Sustainable Development Goals (SDGs) 9 *Industry, innovation and infrastructure* and 17 *Partnerships for the goals – Technology*.”

“Rating the two types of organizational structure options on each of the identified pillars of institution-building will help NTA Management in choosing a more sustainable organizational structure for the establishment of TRGI, taking into account the goals, operations, resources, and external factors such as government regulations and industry standards. The future organizational structure will enable the institute to conduct research, grading, and quality assurance for the tobacco industry, while also fostering innovation, knowledge exchange, and policy development.”

Respondents were asked to rate the likelihood (probability) of sustainability of the integrated type (TRGI) and independent type (TGI) of organizational structures on each of the 7 pillars of institution-building in research systems (1. Mission, 2. Core Values, 3. Leadership and Management, 4. Organization Structure, 5. Linkages, 6.

Program and 7. Resources) using the following rating scale: 1 = Very Unlikely, 2 = Unlikely, 3 = Neutral, 4 = Likely and 5 = Very Likely.

NTA management stakeholders perceive the **Integrated type (TRGI)** as significantly more sustainable than the **Independent type (TGI)** across all seven institution-building pillars. The highest rated aspects for TRGI were *Linkages (4.43)* and *Programs (4.38)*, suggesting that respondents believe TRGI would facilitate better partnerships and program implementation. Meanwhile, standard deviations indicate that there is stronger consensus in favor of TRGI, while perceptions about TGI are more varied per data shown in Tables 7 and 7.1.

**Table 7**

*Mean Ratings of Sustainability Perceptions for Each Pillar for Both Integrated TRGI and Independent TGI*

Mean (n =42)	Mission	Core Values	Leadership & Management	Organization Structure	Linkages	Program	Resources
Integrated Type (TGRI)	4.31	4.29	4.21	4.33	4.43	4.38	4.31
Independent Type (TGI)	3.57	3.60	3.60	3.52	3.55	3.45	3.60

**Table 7.1**

*Standard Deviation of Ratings of Sustainability Perceptions for Each Pillar for Both Integrated TRGI and Independent TGI*

Standard Deviation (n =42)	Mission	Core Values	Leadership & Management	Organization Structure	Linkages	Program	Resources
Integrated Type (TGRI)	0.72	0.71	0.56	0.65	0.63	0.73	0.75
Independent Type (TGI)	0.86	0.89	0.73	0.80	0.77	0.74	0.86

To test whether the choice distribution (TRGI vs. TGI) is significantly different from a 50/50 distribution, inferential statistics was applied in Proportion Test (N outcomes) using Chi-square Goodness of Fit Test for Organizational Structure Choice as shown in Tables 8 and 8.1.

**Table 8**

*Chi-square Goodness of Fit Test for Organizational Structure Choice*

<b>Proportions – Organizational Structure</b>		
<b>Level</b>	<b>Count</b>	<b>Proportion</b>
Integrated Type (TRGI)	39	0.9286
Independent Type (TGI)	3	0.0714

**Table 8.1**

Chi-Square Test of Goodness of Fit

<b><math>\chi^2</math></b>	<b>df</b>	<b>p</b>
30.9	1	<0.001

The Chi-square goodness of fit test revealed a statistically significant preference among NTA management for the Integrated type (TRGI) organizational structure over the Independent type (TGI),  $\chi^2(1) = 30.9$ ,  $p < .001$ . This suggests strong

stakeholder consensus in favor of integrating TRGI within the existing NTA organizational framework rather than establishing it as a separate independent entity.

For objective clarification, survey results data in Part III were subjected to statistical analysis to test whether NTA stakeholders perceive one organizational structure as more sustainable than the other across each of the 7 sustainability pillars. Table 9 shows Paired Samples t-Test (or Wilcoxon Signed-Rank if non-normal) to compare paired mean ratings of sustainability pillars: TRGI vs. TGI for each of the 7 pillars; and objectively determine if there is a statistically significant difference in perceived sustainability. Visualization of bar charts comparing mean ratings per pillar for TRGI vs. TGI was also used as shown in Figure 10.

**Table 9**

*Significant Analysis of Mean of Each Organizational Pillars of Integrated and Independent Types*

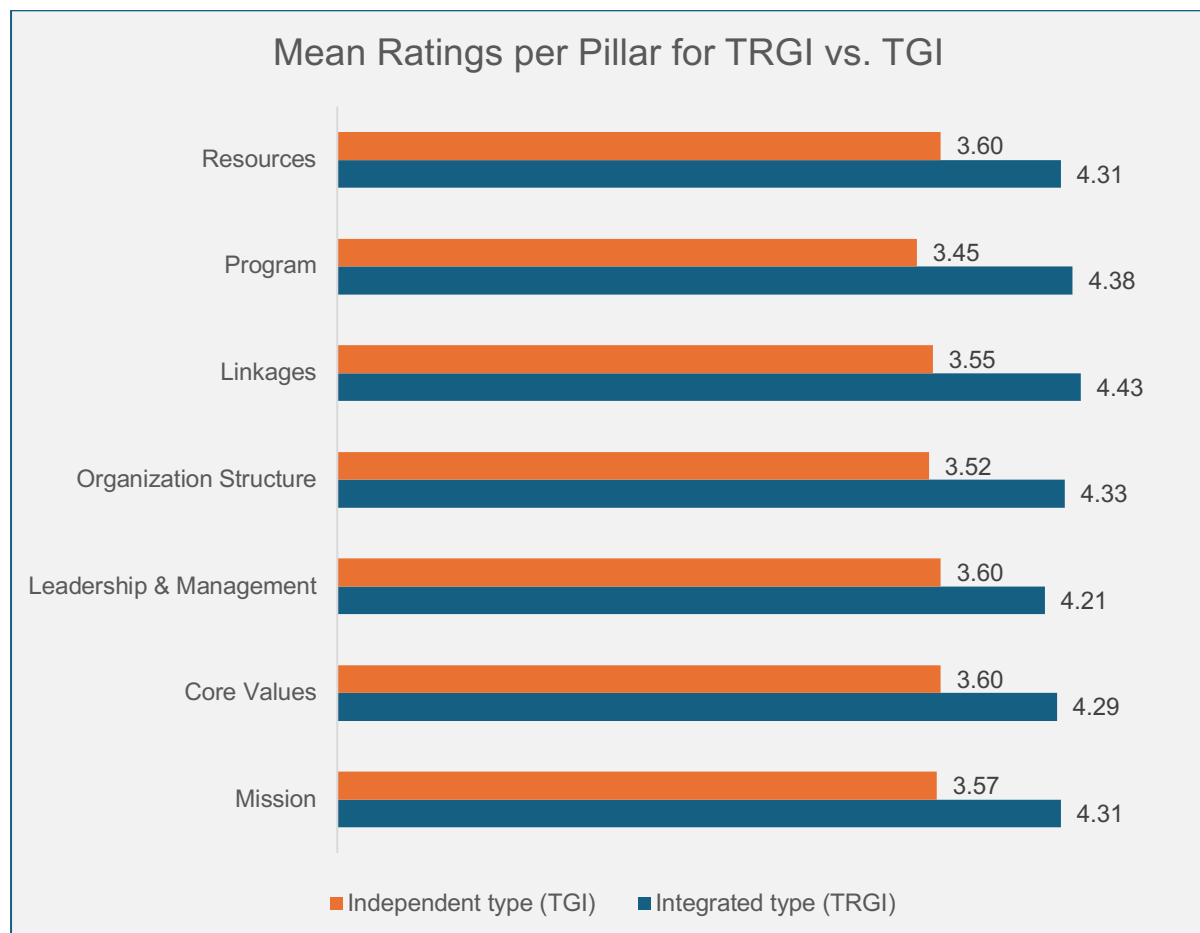
Mean (n =42)	Mission	Core Values	Leadership & Management	Organization Structure	Linkages	Program	Resources
Integrated Type (TGRI)	4.31	4.29	4.21	4.33	4.43	4.38	4.31
Independent Type (TGI)	3.57	3.60	3.60	3.52	3.55	3.45	3.60
Significant Analysis at 95% Confidence Level	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher	Integrated Type is Significantly Higher

**Table 9.1***Paired Samples t-Test (or Wilcoxon Signed-Rank if non-normal)*

<b>Integrated</b>	<b>Independent</b>	<b>Test</b>	<b>Statistic</b>	<b>df</b>	<b>p</b>
Mission	Mission	Student's t	4.16	41.0	<0.001
		Wilcoxon W	271 <sup>a</sup>		<0.001
Core values	Core values	Student's t	4.99	41.0	<0.001
		Wilcoxon W	190 <sup>b</sup>		<0.001
Leadership	Leadership	Student's t	4.86	41.0	<0.001
		Wilcoxon W	171 <sup>d</sup>		<0.001
Organization	Organization	Student's t	5.15	41.0	<0.001
		Wilcoxon W	269 <sup>e</sup>		<0.001
Linkages	Linkages	Student's t	6.06	41.0	<0.001
		Wilcoxon W	319 <sup>f</sup>		<0.001
Programs	Programs	Student's t	6.94	41.0	<0.001
		Wilcoxon W	351 <sup>g</sup>		<0.001
Resources	Resources	Student's t	4.77	41.0	<0.001
		Wilcoxon W	261 <sup>e</sup>		<0.001

The results of paired samples t-tests and Wilcoxon signed-rank tests revealed statistically significant differences in perceived sustainability between the Integrated type (TRGI) and Independent type (TGI) structures across all seven institution-building pillars ( $p < .001$ ). This strongly suggests that internal NTA stakeholders perceive the Integrated structure as more capable of fulfilling TRGI's mission, managing resources, building linkages, and delivering programs sustainably.

Figure 10. Visualization of bar charts comparing mean ratings per pillar for TRGI vs. TGI



For the majority of respondents (39 out of 42), long-term establishment of integrated TRGI in NTA involving change management process is worth-while to pursue, considering the development time frame, mode of establishing the institute, and mechanisms of institution-building. Notable comments and suggestions are as follows:

“It is more comprehensive and encompassing;”

“Establishing a Tobacco Research and Grading Institute (TRGI) requires careful consideration of development timeframe, establishment mode, and institution-

building mechanisms, with the optimal strategy depending on factors like resources, political will, and national priorities;”

“Let's stick to the provision of RA # 4155 for the creation and establishment of TRGI, such that revising the provision of the RA would take more long years!;”

“There are many possible contributions to generate income however, the main issue will be the desire of the succeeding management officials to pursue this route;”

“Long-term establishment will provide ample time in the formation of policies and IGs;”

“More possible income-generating activities;”

“More possible contribution in the Long-term establishment of integrated TRGI in NTA involving change management process;”

“To give ample time for the undertakings;”

“This will ensure better implementation of the project;”

“Establish income generating activities and more employment for the new generation;”

“No answer. Integrated TRGI is more likely to be developed in the short-term by adopting the scrap and build scheme. Independent TRGI is likely a long-term process as it needs justifications to GCG and DBM;”

“Long-term purposes for sustainability;”

“If integrated with NTA so they should co-exist;”

“I think that the long-term establishment will be better and more beneficial to the interest of the Tobacco farmers sector;”

“This is more practical to pursue and implement because it needs only a slight modification of the present or existing organizational structure of the NTA;”

“Integration of TRGI in NTA's is what the law mandates even if it means NTA has to undergo change management process;”

“A simpler way to modify the NTA organizational structure;”

“To have more opportunities of possible income generating activities;”

“NTA is performing as a sole regulatory body regarding tobacco no need to create new organization;”

“To maximize resources;”

“Yes, it is necessary that the AGENCY will involve the change management process in the Integrated TRGI for the review and for reconciliation with the existing NTA structure;”

“Process of Change Management has complex inner and will take a lot of time, effort & resources but result will be better for the organization in the long run;”

“Strong legal foundation and institutional autonomy;”

“Aims to create a centralized entity focused on tobacco industry research, specifically in grading and quality assessment and there should be a stable funding source, strong administrative support and a clear vision for the future. It should also be closely aligned with the evolving needs of the tobacco industry and public health concerns;”

“Creation of a separate organization may result in overlapping of functions;”

“Short-term establishment is not good, especially for long-term organization;”

“More comprehensive;”

“So that the establishment of the TRGI is properly infused in the NTA change management process;”

“It has more contributions that will benefit the whole tobacco industry;”

“The "long-term" Integrated TRGI, through its integration into the NTA and its vastly broader scope of activities, appears to offer a more robust, sustainable, and impactful path forward, particularly in its potential contribution to income-generating activities and services for the NTA as a GOCC;” and

“To ensure the proper implementation of rules and codes of conduct to facilitate exchange for the improvement of organization. (Supervision, Monitoring .and Evaluation).”

For the minority of respondents (3 out of 42) who chose short-term establishment of independent TGI involving creation of new organization, notable comments and suggestions were:

“There is an immediate need for government graders to man the grading of trading centers;”

“Independent TGI does not involve change management process;”

“For the immediate implementation of its objectives;”

“To test the waters prior to a large investments considering the challenges on the tobacco industry;” and

“TGI should be a separate entity from the NTA, as intended (same concept as ATI, CSI, etc.) to focus only on tobacco grading. The issue with this however is sustainability, among others: - what grading system will be taught, when NTA cannot even impose on the private sector its own grading system? - who are your intended enrollees? the private sector intended graders will definitely not enroll unless or until NTA grading system is imposed and actually accepted by them. - NTA graders may be targetted market, but the fees will be subsidized or even borne by the NTA (non-income).”

Respondents were asked if they can identify other income-generating activities/services for sustainability of TRGI and notable suggestions were:

“To serve as venue for trainings of outside agencies and offices synonymous to our tobacco farmers training center;”

“Income from Research and Regulation fees, from nicotine and chemical analyses, from imposition of permits and licenses, etc.;;”

“Tobacco stalk flour - biochar as soil amendment, tobacco stalk fiber - yarn and textile;”

“Collection of training fees and pursue the execution of MOU with DTI as accredited testing center for vape products;”

“Identification and development of tobacco by products that can be used for VAPE. There are other products that can be generated from tobacco which can be used as medicine and inputs in agricultural activities if these products are develop in its full potential could be good source of income for to the TRGI;”

“Possible other income-generating activities includes collaboration with other government agencies in establishing national standards for other tobacco related products;”

“1. Partner with TESDA, DA, or private entities to accredit and charge for these programs; 2) contract research;”

“Tobacco stalk for cork board;”

“Product development from the other uses of tobacco;” and

“It generates income through various sources, including excise taxes on tobacco products, research and development activities and technical assistance to farmers;”

“Laboratory Fees, Research Fees, and Training Fees.”

Respondents were also asked if they can identify other income-generating activities/services for sustainability of TGI and notable suggestions were:

“Creation of sustainable tobacco - related enterprise;”

“A tobacco grading institute likely doesn't generate income directly through sales like a business. Instead, it likely functions as a government agency or research institute, generating income through government funding, research grants, and potentially fees for services like leaf grading or consulting;” and

“Grading Fee, Supervision and inspection fee.”

Based on the two types of proposed organizational structures shown in Figures Part II.A and Part II.B and the advantages and challenges shown in Table Part II.C (development time frame, mode of establishment, mechanisms of institution-building, and sources of income), respondents were asked which organizational structure option do they think is more sustainable for the establishment of a TRGI in the Philippines. Majority of the respondents chose the Integrated type (TRGI) and notable comments were:

“Its comprehensiveness long-term makes it more sustainable;”

“The most worthwhile approach depends on a thorough cost-benefit analysis considering the specific context. Integrated TRGI can have this approach focusing on building strong human capital and securing diverse funding sources, may offer the best balance sustainability, and long-term impact. However, a detailed feasibility study is necessary to determine the most appropriate and effective approach;”

“Because it is integrated, budget for the department is always included;”

“Strictly follow the provisions of RA # 4155;”

“While TGI is more feasible than the integrated TRGI, I choose the latter for sustainability;”

“More possible options that can be considered to generate income;”

“Inter relation among departments will lead to better output;”

“Less expense on its establishment and optimum utilization of NTA HR;”

“For better management;”

“Short-term development by simply adopting the scrap and build scheme;”

“Integrated since NTA is the sole regulatory office for tobacco industry in the Philippines;”

“I think that the integrated type is better and more sustainable because it will be under the expertise of the NTA;”

“The TRGI because the NTA is already there for a good number of years, it has proven to be a good agency for tobacco and establishment of a TRGI by integrating it with the NTA is a more practicable way of establishing the TRGI;”

“No need to install another administrative office;”

“To have more income generating activities for a sustainable TRGI;”

“The agency has already been educating farmers about leaf grading, no need for independent organization to do that role;”

“The Integrated Type is more doable than the Independent Type;”

“Comprehensive and well- rounded;”

“Funding for an integrated establishment is more feasible;”

“Creation of job opportunities;”

“It has a good chance to succeed considering the agency (NTA) is already established. The only thing to be done is to integrate and make as part of the NTA;”

“Long-term, stand-alone institution-building with national scope;”

“The project has already an initial appropriation amount of 40M from tobacco fund established under RA 4155 as a capital requirement for tobacco center, which

will include acquisition and development of experimental field, construction of building, laboratories and housing for the center's staff and trainees and acquisition of equipment while 20M per annum will be allocated and disbursed for the operating expenses of the center;”

“The TRGI may be integrated with the IRD, as their functions may be related;”

“Unification of all the tobacco industry functions especially on regulation, training, and research;” and

“Despite both options requiring similar compliance and approval mechanisms from various government bodies, the core difference resides in their distinct approaches to establishment and their capacity for making significant contributions.”

A notable comment from a respondent who chose the Independent type (TGI) states:

“They are both sustainable but the independent type may be easier to establish and doesn’t require a total overhaul of the organization.”

#### **Part IV. Stakeholder Engagement in the Institution-Building Plan for the Establishment of a TRGI**

To gauge stakeholders’ perspective with respect to engagement institution-building plan for the establishment of a TRGI, respondents were asked to choose in what aspects of institution-building they could contribute, “As part of NTA Management and as a stakeholder in the tobacco industry, in what aspect of the institution-building plan do you think you could contribute for the establishment of a TRGI?” followed by the itemized choices: 1. Planning and designing of sustainable organizational structure and research for change management; 2. Planning and design process of sustainable

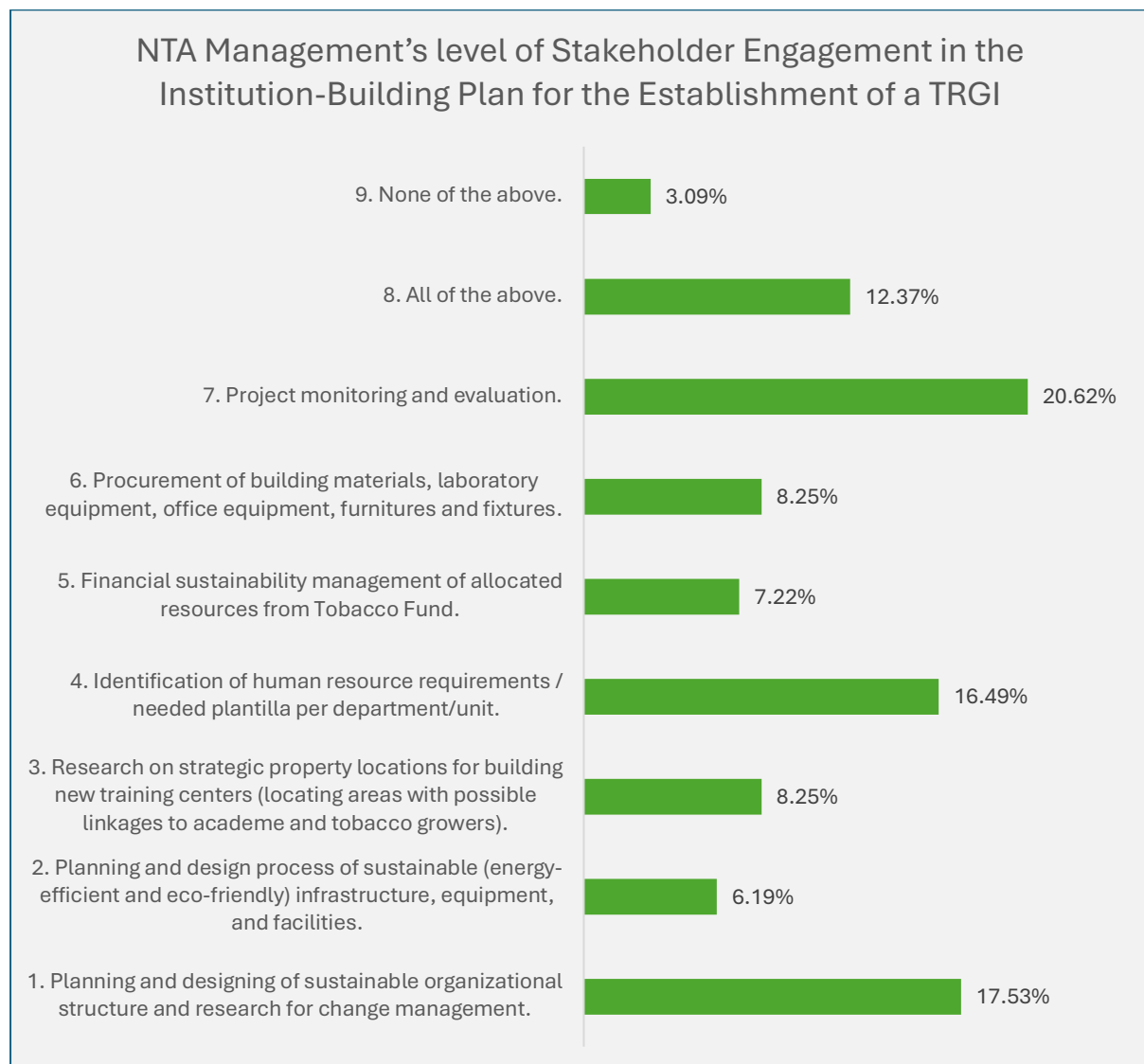
(energy-efficient and eco-friendly) infrastructure, equipment, and facilities; 3. Research on strategic property locations for building new training centers (locating areas with possible linkages to academe and tobacco growers); 4. Identification of human resource requirements / needed plantilla per department/unit; 5. Financial sustainability management of allocated resources from Tobacco Fund; 6. Procurement of building materials, laboratory equipment, office equipment, furniture and fixtures; 7. Project monitoring and evaluation; 8. All of the above; and 9. None of the above.

Survey results data in Part IV were processed for a descriptive statistical analysis by: a) Clarifying the objective or goal which is to describe and analyze the level of stakeholder engagement among NTA Management in relation to the TRGI institution-building plan; b) Identify relevant column(s) from dataset. The column that corresponds to Part IV: Stakeholder Engagement is: "As part of NTA Management and as a stakeholder in the tobacco industry, in what aspect of the institution-building plan do you think you could contribute for the establishment of a TRGI?" Step 1 is recode responses (in Excel) since it is a multiple-response column, first split the responses into separate columns then mark each as 1 (selected) or 0 (not selected). Step 2 is calculate descriptive stats then the used frequency counts and percentages for each engagement area as shown in Table 9 and in represented by bar graphs in Figure 11. Step 3 is analyze by demographics using Chi-square tests to examine if engagement levels vary by management level, department, and area of assignment as shown in Table 11. Analysis of results in contingency tables for statistically significant association between area of assignment is shown in Tables 12 and 12.1.

**Table 10.***Stakeholder Engagement Frequency*

<b>Stakeholder Engagement</b>	<b>Frequency</b>	<b>%</b>
1. Planning and designing of sustainable organizational structure and research for change management.	17	17.53%
2. Planning and design process of sustainable (energy-efficient and eco-friendly) infrastructure, equipment, and facilities.	6	6.19%
3. Research on strategic property locations for building new training centers (locating areas with possible linkages to academe and tobacco growers).	8	8.25%
4. Identification of human resource requirements / needed plantilla per department/unit.	16	16.49%
5. Financial sustainability management of allocated resources from Tobacco Fund.	7	7.22%
6. Procurement of building materials, laboratory equipment, office equipment, furnitures and fixtures.	8	8.25%
7. Project monitoring and evaluation.	20	20.62%
8. All of the above.	12	12.37%
9. None of the above.	3	3.09%
<b>TOTAL</b>	<b>97</b>	<b>100%</b>

Figure 11. NTA Management’s level of Stakeholder Engagement in the Institution-Building Plan for the Establishment of a TRGI



Project Monitoring & Evaluation is the top area where NTA management sees themselves engaged. Strategic planning and HR also show high engagement. A substantial 12.37% selected “All of the above”, implying a significant portion believe in holistic participation. Sustainability-related infrastructure planning and financial oversight have lower engagement.

**Table 11***Analysis by Demographics using Chi-square Tests*

	<b>Stakeholder Engagement</b>	<b>p-values</b>			<b>Significant Analysis at 95% Confidence Level</b>		
		<b>Management Level</b>	<b>Department</b>	<b>Area of Assignment</b>	<b>Management Level</b>	<b>Department</b>	<b>Area of Assignment</b>
1.	Planning and designing of sustainable organizational structure and research for change management.	0.670	0.570	0.348	Not Significant	Not Significant	Not Significant
2.	Planning and design process of sustainable (energy-efficient and eco-friendly) infrastructure, equipment, and facilities.	0.752	0.527	0.878	Not Significant	Not Significant	Not Significant
3.	Research on strategic property locations for building new training centers (locating areas with possible linkages to academe and tobacco growers).	0.167	0.585	0.629	Not Significant	Not Significant	Not Significant
4.	Identification of human resource requirements / needed plantilla per department/unit.	0.879	0.392	0.477	Not Significant	Not Significant	Not Significant
5.	Financial sustainability management of allocated resources from Tobacco Fund.	0.424	0.238	0.041	Not Significant	Not Significant	Significant
6.	Procurement of building materials, laboratory equipment, office equipment, furnitures and fixtures.	0.882	0.503	0.439	Not Significant	Not Significant	Not Significant
7.	Project monitoring and evaluation.	0.650	0.501	0.247	Not Significant	Not Significant	Not Significant
8.	All of the above.	0.437	0.371	0.425	Not Significant	Not Significant	Not Significant
9.	None of the above.	0.656	0.519	0.116	Not Significant	Not Significant	Not Significant

**Table 12***Contingency tables for statistically significant association between area of assignment*

<b>5. Financial sustainability management of allocated resources from Tobacco Fund.</b>	<b>Area of Assignment</b>			<b>Total</b>
	<b>Branch Office</b>	<b>Department</b>	<b>Governing Board</b>	
0	17	15	3	35
1	1	3	3	7
Total	18	18	6	42

**Table 12.1**

*Chi-square Test of Area of Assignment*

	<b>Value</b>	<b>df</b>	<b>p</b>
<b>X<sup>2</sup></b>	6.40	2	0.041
<b>N</b>	42		

There is a significant association between area of assignment and whether a stakeholder selected this activity. Among those who selected financial management, half of the Governing Board did (3 out of 6). In contrast, only 1 of 18 Branch Office staff and 3 of 18 Department staff selected this. The Governing Board shows disproportionately higher engagement in financial oversight. **Other Engagement Areas:** All other engagement activities had p-values > 0.05 across all three demographic variables. This suggests that engagement in planning, HR, infrastructure, etc. is uniform across management levels, departments, and assignments — no significant variation detected. **Summary:** Among all stakeholder engagement activities for TRGI, only financial sustainability management showed a statistically significant relationship with area of assignment (p = 0.041). This suggests that Governing Board members are more inclined or expected to participate in financial oversight roles. No other engagement items showed significant differences by department, level, or assignment, indicating relatively uniform engagement perceptions.

## **Chapter V**

### **SUMMARY, CONCLUSION, AND RECOMMENDATION**

#### **Summary**

This stakeholder perception study strictly focused on the two types of organizational structures proposed by the past and present administrations and management of NTA. Members of NTA Management are considered experts in their own right and are knowledgeable in dealing with tobacco industry matters. The two types of organizational structures proposed represent opposing ideas of past and present members of NTA Management which hinders a definitive approach in establishing TRGI. The result of the stakeholder perception study shows a clear and informed decision of the majority of the present NTA Management members based on principles of management and institution-building which resolves the longstanding obstacle in pursuing a clear directional approach for TRGI establishment.

#### **Conclusion and Recommendation**

The choice for a suitable organizational structure for the establishment of a Tobacco Research and Grading Institute is an essential step towards ensuring the quality and sustainability of the tobacco industry. This study provides valuable insights into how to structure the institute in a way that maximizes its effectiveness, promotes innovation, and addresses industry needs, while complying with government

regulations. The stakeholder perception captured through this study will be crucial for the successful establishment and long-term operation of the TRGI.

Being the sole government body that has the authority vested by EO No. 245 to promote the development of and regulate the tobacco industry, NTA, through its management team, should serve as fiduciaries of the State and lead initiators in deciding matters dealing with managing public resources such as the growing Tobacco Fund. Hence, the establishment of TRGI as a provision of RA 4155 calls for a decisive action from among the stakeholders of the tobacco industry, specifically the NTA Management comprised of the board of directors, administrator and chief executive officer with the deputy administrators, department and branch managers, division chiefs and down to the level of the supervisors who are the younger and next-generation leaders of the industry.

The results of this stakeholder perception study show the integrated approach in establishing the Tobacco Research and Grading Institute (TRGI) within the organizational structure of the National Tobacco Administration (NTA) is supported by majority of NTA Management. Although the integrated TRGI may require a long-term process of establishment, it is viewed by the majority of NTA Management members as more sustainable than an independent TGI.

Integration of TRGI within the NTA organizational structure will naturally strengthen the mandate and position of NTA as a research and development organization, thus reinforcing its employees' entitlement to the benefits from the Magna Carta for scientists, engineers, researchers, and other science and technology personnel such as hazard pay, per diem, honorarium, etc. As per the Joint Circular No. 1 series of 2013 of the Department of Budget and Management and the Department of Science and Technology, other personnel covered to receive benefits

are those involved in S&T program and project planning and policy work, and in other S&T-related support services. Hence, the managers and planners of S&T projects and activities as well as extension workers who assist farmers and gatherers of primary farming data and tobacco trading data may also qualify for such benefits.

The integrated approach will require change management and rationalization of the whole NTA organization to satisfy the demand for adequate manpower with the right skills to fit the larger organizational structure. TRGI's integration into the NTA organizational structure, will directly benefit the whole NTA organization from its entitlement to the Tobacco Fund; whereas the independent approach in establishing a separate Tobacco Grading Institute (TGI) from the NTA organization will tend to isolate the Tobacco Fund entitlement to TGI only.

NTA decision-makers must reach a unified stand in which the manner of establishing TRGI will be pursued. Once a definite choice for the organizational structure of TRGI is agreed upon and approved by NTA Management, a formal study should be conducted on the development of an organizational structure for the establishment of TRGI with other stakeholders to ensure its long-term sustainability and alignment with sustainable development goals (United Nations 2030 SDG 9 Industry, innovation and infrastructure) indicated in NTA's Strategic Initiative as Organization/Restructuring Program, which is specifically stated as "Activity/Milestone no. 10: Develop a proposed Organizational Structure and Staffing Pattern (OSSP)" and mentions that the "GCG issued MC no. 2015-04 providing guidelines on the reorganization, rationalization and personnel planning in the GOCC sector" and establishment of TRGI could address SDG 17 Partnerships for the goals – Technology (Fully operationalize the technology bank and science, technology and innovation capacity-building mechanism for least developed countries by 2017 and enhance the

use of enabling technology, in particular information and communications technology). Through TRGI, the Tobacco Fund can be accessed to support research and development endeavors of NTA and research collaboration with other government research organizations as well as academic, thus, contributing to the Philippines' R&D output and reaching the recommended R&D spending reflected in the Global Innovation Index (GII).

Detailed organizational structure for NTA and TRGI will require discussions and planning workshop among members of IRD and FTSD with the guidance of representatives from the Administrative and Corporate Planning Departments based on the results of the stakeholder perception survey on organizational structure options for the establishment of a TRGI in the Philippines. The output of the workshop can serve as a masterplan for NTA's organizational development and can be presented for the appreciation, critique and recommendation of the representatives from the NTA Change Management Team and Finance Department under the Deputy Administrator for Support Services. The resulting plan, upon approval of the NTA Board of Directors, would serve as a baseline in future organizational developments of NTA.

Another strategy of managing or resolving empirical gaps in the proposals for establishing the TRGI would be through consultation with lawmakers and seeking the intervention of external organizations who have jurisdiction or authority over GOCCs with regards to organizational development and plantilla approval, such as the Governance Commission for Government-Owned or Controlled Corporations (GCG), Civil Service Commission (CSC), the Department of Agriculture (DA), National Economic and Development Authority (NEDA), and the Department of Budget and Management (DBM). These external agencies are mandated and have the expertise

to implement laws pertaining to GOCCs like NTA and they can give technical support and legal advice to NTA in its organizational development efforts.

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## **APPENDICES**

## Appendix A: Survey Questionnaire

10/5/25, 5:21 PM

Survey on Stakeholder Perception on Organizational Structure Options for the Establishment of a Tobacco Research and Grading Institute in the P...

# Survey on Stakeholder Perception on Organizational Structure Options for the Establishment of a Tobacco Research and Grading Institute in the Philippines

Good day! I am Cyrus Raymond C. Olivenza, supervising science research specialist at the Quality Assurance Division, Industrial Research Department of the National Tobacco Administration (NTA) and a student of Master of Research and Development Management program at the University of the Philippines Open University (UPOU), conducting research on the integrated and independent types of organizational structures for the establishment of a Tobacco Research and Grading Institute in the Philippines, helping to identify the best approach for its establishment and sustainability, as per Memorandum of Agreement between UPOU and NTA.

\* Indicates required question

### 1. Confidentiality Notice \*

I understand that UPOU and NTA will collect my personal information and responses to cater to the survey data and that such information is stored in the database once collected. The use, storage, access and disposal of personal information are governed by Data Privacy Policies. Providing information means that I am giving my full consent to the organizations to collect my information and expressly waive my rights under the Data Privacy Act of 2012 (R.A. 10173).

*Mark only one oval.*

I allowed UPOU and NTA to collect my personal information.

### Personal Information

[https://docs.google.com/forms/d/1iRte7wRT04sybQ-ryKF5YkicsOx1-GrL5\\_sRQs7ZcAA/edit?pli=1](https://docs.google.com/forms/d/1iRte7wRT04sybQ-ryKF5YkicsOx1-GrL5_sRQs7ZcAA/edit?pli=1)

1/34

2. Name (Last, First, Middle Initial) \*

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3. Email \*

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4. Age \*

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5. Gender \*

*Mark only one oval.*

- Male  
 Female  
 Prefer not to say

6. Position at NTA \*

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7. Management Level (Career Band according to CPCS) \*

*Mark only one oval.*

- Executive (JG 17 to 20 or Administrator / CEO / Director)  
 M4 Manager (JG16 or Deputy Administrator)  
 M3 Manager (JG 14 & 15 or Department Managers)  
 M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)

## 8. Area of Assignment \*

Mark only one oval.

- Governing Board
- Department
- Branch Office
- Project Office

## 9. Name of Department / Branch Office / Project Office \*

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## 10. Unit / Division

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## 11. Number of years in the tobacco industry \*

Mark only one oval.

- 1-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- 21-25 years
- 26-30 years
- 31-35 years
- 36-40 years
- 41-45 years
- 46-50 years

12. Number of years in NTA (including tenure from the 8 tobacco agencies that merged into NTA) \*

*Mark only one oval.*

- 1-5 years
- 6-10 years
- 11-15 years
- 16-20 years
- 21-25 years
- 26-30 years
- 31-35 years
- 36-40 years
- 41-45 years
- 46-50 years

**Part I. Stakeholder Awareness and Understanding of Republic Act No. 4155  
Provision for the Establishment of a TRGI**

Republic Act No. 4155 or An Act to Promote and Strengthen the Virginia Tobacco Industry is a 60-year-old law with provision for the creation of a Tobacco Research and Grading Institute (TRGI) from the Tobacco Fund (accumulated a total of Php 92.3 billion as of May 2022), mandated to the Philippine Virginia Tobacco Administration (PVTA) and inherited mandate by the National Tobacco Administration (NTA).

13. Prior to your participation in this survey, how do you rate your level of awareness of RA 4155 and its provision for the establishment of a TRGI from the Tobacco Fund? \*

Awareness Rating Scale:

- 1 = Very Unaware
- 2 = Unaware
- 3 = Neither aware or unaware
- 4 = Aware
- 5 = Very aware

1 2 3 4 5

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14. Do you agree with NTA pursuing the establishment of a TRGI and its entitlement to the Tobacco Fund? \*

Mark only one oval.

- Yes
- No
- Maybe

15. Briefly explain your answer. \*

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16. The Ilocos Sur Polytechnic State College (ISPSC) recently expressed their interest in establishing a TRGI in their campus and asked for NTA's stand on this matter. \*

Do you agree with NTA giving up or relinquishing its inherited mandate to ISPSC for establishing a TRGI along with its entitlement to the Tobacco Fund?

Mark only one oval.

- Yes  
 No  
 Maybe

17. Briefly explain your answer. \*

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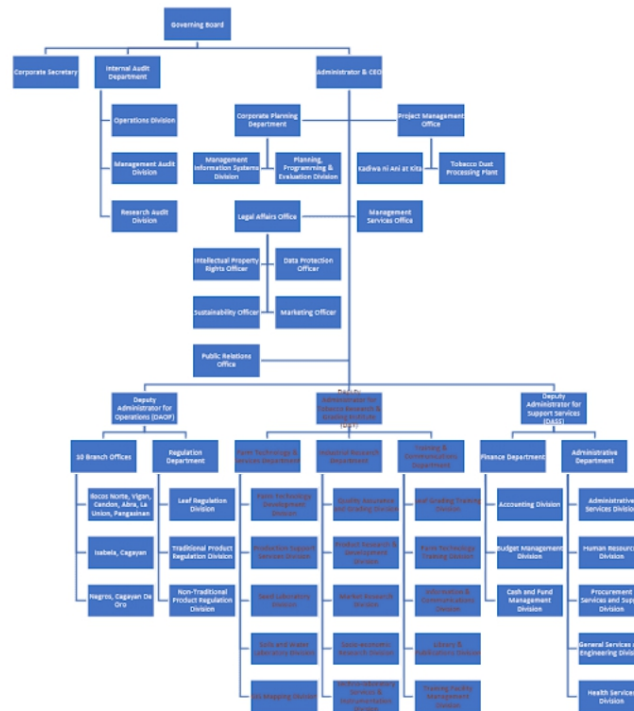
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## Part II. Selection of a Sustainable Organizational Structure for the Establishment of a TRGI

Prior to the establishment of a Tobacco Research and Grading Institute in the Philippines, in pursuance of the provision of Republic Act No. 4155, there is a need for NTA Management to evaluate and empirically verify proposals to clearly decide on its directional strategies by initially choosing between two types of proposed organizational structures, an **integrated** type and an **independent** type.

**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**



**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**

**Part II.A.1 Snapshot of TRGI under DAT**



18. **Part II.A.1 Snapshot of TRGI under DAT**

\*

Do you agree with the proposed structure of TRGI under DAT or you want to modify?

Mark only one oval.

- Agree
- Modify

19. **Part II.A.1 Snapshot of TRGI under DAT**

If you want to modify, what changes do you suggest and why?

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**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**

**Part II.A.2 Snapshot of organizational structure under the Deputy Administrator for Support Services (DASS)**



20. **Part II.A.2 Snapshot of organizational structure under the Deputy Administrator for Support Services (DASS)**

\*

Do you agree with the proposed structure under the DASS or you want to modify?

Mark only one oval.

Agree

Modify

21. **Part II.A.2 Snapshot of organizational structure under the Deputy Administrator for Support Services (DASS)**

If you want to modify, what changes do you suggest and why?

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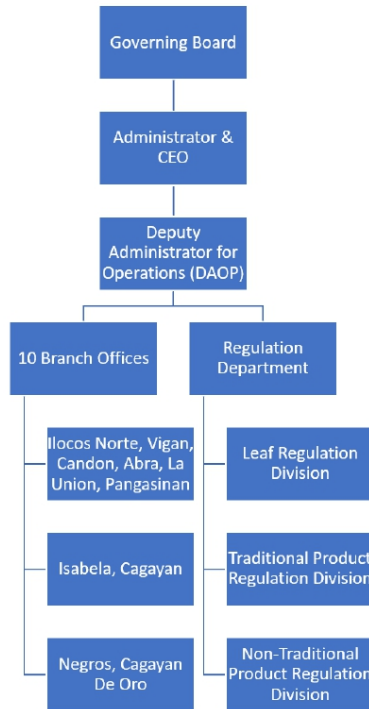
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**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**

**Part II.A.3 Snapshot of organizational structure under the Deputy Administrator for Operations (DAOP) with additional branch offices in Visayas and Mindanao and increased number of extension workers proportional to the population of tobacco farmers. Creation of Non-Traditional Product Regulation Division for novel and next-generation tobacco products. IRD and FTSD transferred to DAT.**



22. **Part II.A.3 Snapshot of organizational structure under the Deputy Administrator for Operations (DAOP) with additional branch offices in Visayas and Mindanao and increased number of extension workers proportional to the population of tobacco farmers. Creation of Non-Traditional Product Regulation Division for novel and next-generation tobacco products. IRD and FTSD transferred to DAT.**

\*

Do you agree with the proposed structure under the DAOP or you want to modify?

Mark only one oval.

- Agree  
 Modify

23. **Part II.A.3 Snapshot of organizational structure under the Deputy Administrator for Operations (DAOP) with additional branch offices in Visayas and Mindanao and increased number of extension workers proportional to the population of tobacco farmers. Creation of Non-Traditional Product Regulation Division for novel and next-generation tobacco products. IRD and FTSD transferred to DAT.**

If you want to modify, what changes do you suggest and why?

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**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**

**Part II.A.4 Snapshot of organizational structure under the Internal Audit Department (IAD)**



24. **Part II.A.4 Snapshot of organizational structure under the Internal Audit Department (IAD)** \*

Do you agree with the proposed structure under the IAD or you want to modify?

*Mark only one oval.*

Agree

Modify

25. **Part II.A.4 Snapshot of organizational structure under the Internal Audit Department (IAD)**

If you want to modify, what changes do you suggest and why?

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**Part II.A.** Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration

**Part II.A.5 Snapshot of organizational structure under the Corporate Planning Department (CorPlan)**



26. **Part II.A.5 Snapshot of organizational structure under the Corporate Planning Department (CorPlan)**

\*

Do you agree with the proposed structure under the CorPlan or you want to modify?

Mark only one oval.

Agree

Modify

27. **Part II.A.5 Snapshot of organizational structure under the Corporate Planning Department (CorPlan)**

If you want to modify, what changes do you suggest and why?

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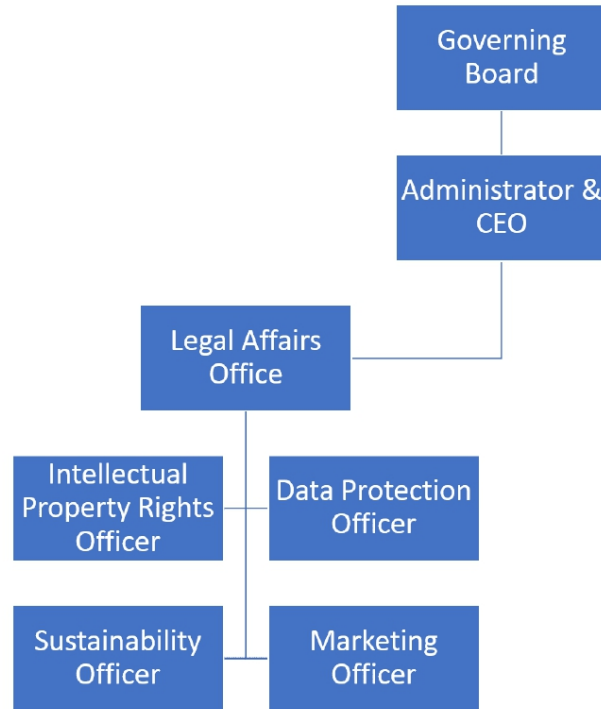
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**Part II.A. Integrated Type of Organizational Structure for TRGI within the National Tobacco Administration**

**Part II.A.6 Snapshot of organizational structure under the Legal Affairs Office (LAO)**



28. **Part II.A.6 Snapshot of organizational structure under the Legal Affairs Office (LAO)** \*

Do you agree with the proposed structure under the LAO or you want to modify?

Mark only one oval.

Agree

Modify

29. **Part II.A.6 Snapshot of organizational structure under the Legal Affairs Office (LAO)**

If you want to modify, what changes do you suggest and why?

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**Part II.B** Independent Type of Organizational Structure for TGI, as a separate entity from the National Tobacco Administration



30. **Part II.B** Independent Type of Organizational Structure for TGI, as a separate entity from the National Tobacco Administration \*

Do you agree with the proposed structure of the TGI or you want to modify?

Mark only one oval.

- Agree
- Modify

31. **Part II.B** Independent Type of Organizational Structure for TGI, as a separate entity from the National Tobacco Administration

If you want to modify, what changes do you suggest and why?

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**Part II.C** Comparative description of the two types of organizational structure options for the establishment of a TRGI/TGI based on time frame, mode of establishment, mechanisms of institution-building, and means of income-generation:

	Integrated TRGI	Independent TGI
Development Time Frame	Long-term	Short-term
Mode of establishment	NTA Change Management	Creation of new organization
Mechanisms of institution-building	Compliance to requirements and approval from DBM, NEDA, CSC, GCG, DA	Compliance to requirements and approval from DBM, NEDA, CSC, GCG, DA
Possible contribution to income-generating activities/services to NTA as a GOCC	Trainings on tobacco leaf grading, farm technologies, industrial products (paper, oil, nicotine, protein, leaf extract, soap, shampoo, ointment, medicine) Intellectual property rights (patents/royalties/technology transfer & commercialization) Raw nicotine production/extraction for vape and nicotine beverage Tobacco leaf extract (TLE) for shampoo, ointment, biopesticide production Tobacco flour as plywood adhesive (anti-termite), as thermoplastic additive, as feed additive (protein-rich) Tobacco dust as molluscicide & fishpond fertilizer Tobacco essential oil for perfume Protocol research for fertilizers and pesticides Analytical services for tobacco leaf Analytical services for traditional tobacco and next-generation products Pesticide residue analysis (phytosanitary requirements of FAO for exports/imports) Analytical services for Soils and Water GIS Mapping Services Seed Production	Trainings on tobacco leaf grading

32. Considering the development time frame, mode of establishing the institute, and mechanisms of institution-building, which do you think is worth-while to pursue? \*

*Mark only one oval.*

- Long-term establishment of integrated TRGI in NTA involving change management process
- Short-term establishment of independent TGI involving creation of new organization

33. Briefly explain your answer. \*

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34. Can you identify other income-generating activities/services for sustainability of TRGI? \*

*Mark only one oval.*

- Yes
- No

35. If your answer is yes, please enumerate.

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36. Can you identify other income-generating activities/services for sustainability of TGI? \*

*Mark only one oval.*

- Yes  
 No

37. If your answer is yes, please enumerate.

---

38. Based on the two types of proposed organizational structures shown in Figures Part II.A and Part II.B and the advantages and challenges shown in Table Part II.C (development time frame, mode of establishment, mechanisms of institution-building, and sources of income), which organizational structure option do you think is **more sustainable** for the establishment of a Tobacco Research and Grading Institute in the Philippines? \*

*Mark only one oval.*

- Integrated type (TRGI)  
 Independent type (TGI)

39. Briefly explain your answer. \*

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### **Part III. Sustainability Likelihood Rating of Two Types of Organizational Structure for the Establishment of a TRGI**

As government workers and officials entrusted with public resources, such as the accumulated Php 92.3 billion Tobacco Fund as of May 2022, proper ethical behavior dictates that public sector workers act in such a way that best serves the interest of the public. This involves sound policy decision-making for the people on its behalf (Hall, 2017).

The establishment of a TRGI, pursuant to the provision of RA 4155, requires careful consideration of an effective organizational structure to ensure its success and sustainability. The third part of this survey focuses on the 7 pillars of institution-building which are essential components for the creation of an institution-building plan aligned with the United Nations Sustainable Development Goals (SDGs)

*9 Industry, innovation and infrastructure and 17 Partnerships for the goals – Technology.*

Rating the two types of organizational structure options on each of the identified pillars of institution-building will help NTA Management in choosing a more sustainable organizational structure for the establishment of TRGI, taking into account the goals, operations, resources, and external factors such as government regulations and industry standards. The future organizational structure will enable the institute to conduct research, grading, and quality assurance for the tobacco industry, while also fostering innovation, knowledge exchange, and policy development.

**Part III. Sustainability Likelihood Rating of Two Types of Organizational Structure for the Establishment of a TRGI**

With your foresight and judgment capacity, rate the likelihood (probability) of sustainability of the integrated type (TRGI) and independent type (TGI) of organizational structures on each of the 7 pillars of institution-building in research systems using the following rating scale:

1 = Very Unlikely

2 = Unlikely

3 = Neutral

4 = Likely

5 = Very Likely

40. **1. Mission (Integrated TRGI)**



This is what defines the reason for the existence of the system. It includes the intended beneficiaries to whom the institution wants to serve. The second part of the mission is specifying what services the institution will provide to alleviate problems faced by the beneficiaries. In the long run, the impact of the institution will be reflected or measured in the changes of condition of the beneficiary identified. An example is NTA's mission statement: "Provide excellent service to enrich the lives of Tobacco Farmers and other industry stakeholders through meaningful programs that improve productivity and promote global competitiveness."

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1   2   3   4   5

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41. **1. Mission (Independent TGI)**

\*

This is what defines the reason for the existence of the system. It includes the intended beneficiaries to whom the institution wants to serve. The second part of the mission is specifying what services the institution will provide to alleviate problems faced by the beneficiaries. In the long run, the impact of the institution will be reflected or measured in the changes of condition of the beneficiary identified. An example is NTA's mission statement: "Provide excellent service to enrich the lives of Tobacco Farmers and other industry stakeholders through meaningful programs that improve productivity and promote global competitiveness."

1 = Very Unlikely

2 = Unlikely

3 = Neutral

4 = Likely

5 = Very Likely

1 2 3 4 5



42. **2. Core Values (Integrated TRGI)**

\*

Core values are the moral principles that guide the conduct of workers of a service institution as it relates with beneficiaries. Some examples are respect for human dignity, trainability of human beings, transparency and open communication, and integrity.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

43. **2. Core Values (Independent TGI)**

\*

Core values are the moral principles that guide the conduct of workers of a service institution as it relates with beneficiaries. Some examples are respect for human dignity, trainability of human beings, transparency and open communication, and integrity.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5



44. **3. Leadership and Management (Integrated TRGI)**

\*

Leadership and management may come as a designation, appointment, or emerging from a situation. Leadership has power or ability to influence behavior from the vantage point of front, side, or behind followers. It provides direction and destination of the effort. Management is how resources are aligned and organized and directs the efforts of followers and do corrective action when there is deviation.

1 = Very Unlikely

2 = Unlikely

3 = Neutral

4 = Likely

5 = Very Likely

1 2 3 4 5



45. **3. Leadership and Management (Independent TGI)**

\*

Leadership and management may come as a designation, appointment, or emerging from a situation. Leadership has power or ability to influence behavior from the vantage point of front, side, or behind followers. It provides direction and destination of the effort. Management is how resources are aligned and organized and directs the efforts of followers and do corrective action when there is deviation.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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46. **4. Organization Structure (Integrated TRGI)**

\*

How components function and made to relate to each other vertically and horizontally through command, communication, coordination, and integration is what organizational structure is all about.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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47. **4. Organization Structure (Independent TGI)** \*

How components function and made to relate to each other vertically and horizontally through command, communication, coordination, and integration is what organizational structure is all about.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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48. **5. Linkages (Integrated TRGI)** \*

Linkages are creating working arrangements, relationships, and harmonizing with other systems for resource acquisition, exchange, and distribution. Examples are alliances, networks, collaboration, cooperation, and memorandum of agreements (with other R&D organizations, academe, government, and industry).

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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49. **5. Linkages (Independent TGI)**

\*

Linkages are creating working arrangements, relationships, and harmonizing with other systems for resource acquisition, exchange, and distribution. Examples are alliances, networks, collaboration, cooperation, and memorandum of agreements (with other R&D organizations, academe, government, and industry).

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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50. **6. Program (Integrated TRGI)**

\*

Programs are commitment to certain objectives and needs and organizing resources and manpower specifying duration of effort and giving authority and responsibility to certain individuals. Parameters are given as the basis for evaluating the performance of the effort.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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☆ ☆ ☆ ☆ ☆

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51. **6. Program (Independent TGI)**

\*

Programs are commitment to certain objectives and needs and organizing resources and manpower specifying duration of effort and giving authority and responsibility to certain individuals. Parameters are given as the basis for evaluating the performance of the effort.

1 = Very Unlikely

2 = Unlikely

3 = Neutral

4 = Likely

5 = Very Likely

1 2 3 4 5

52. **7. Resources (Integrated TRGI)**

\*

Resources are anything used, like bricks, to build something. Specifically, the following are forms of resources: money, materials, equipment, time, manpower, building, space, and relationship. These are what managers organize or arrange and use to get things done.

1 = Very Unlikely

2 = Unlikely

3 = Neutral

4 = Likely

5 = Very Likely

1 2 3 4 5



53. **7. Resources (Independent TGI)**



Resources are anything used, like bricks, to build something. Specifically, the following are forms of resources: money, materials, equipment, time, manpower, building, space, and relationship. These are what managers organize or arrange and use to get things done.

- 1 = Very Unlikely
- 2 = Unlikely
- 3 = Neutral
- 4 = Likely
- 5 = Very Likely

1 2 3 4 5

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**Part IV. Stakeholder Engagement in the Institution-Building Plan for the Establishment of a TRGI**

54. As part of NTA Management and as a stakeholder in the tobacco industry, in what <sup>\*</sup> aspect of the institution-building plan do you think you could contribute for the establishment of a TRGI?

You can choose as many aspects wherein to contribute.

*Check all that apply.*

1. Planning and designing of sustainable organizational structure and research for change management.
2. Planning and design process of sustainable (energy-efficient and eco-friendly) infrastructure, equipment, and facilities.
3. Research on strategic property locations for building new training centers (locating areas with possible linkages to academe and tobacco growers).
4. Identification of human resource requirements / needed plantilla per department/unit.
5. Financial sustainability management of allocated resources from Tobacco Fund.
6. Procurement of building materials, laboratory equipment, office equipment, furnitures and fixtures.
7. Project monitoring and evaluation.
8. All of the above.
9. None of the above.

#### **Part V. Comments and Suggestions**

55. Sustainability-wise, what are your thoughts on the establishment of a **TRGI**? Please share your comments or suggestions.

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56. Sustainability-wise, what are your thoughts on the establishment of a **TGI**? Please share your comments or suggestions.

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## Appendix B: Survey Data

**Table B1**

*Part I Data*

Prior to your participation in this survey, how do you rate your level of awareness of RA 4155 and its provision for the establishment of a TRGI from the Tobacco Fund?	Do you agree with NTA pursuing the establishment of a TRGI and its entitlement to the Tobacco Fund?
<b>Awareness Rating Scale:</b>	
1 = Very Unaware	
2 = Unaware	
3 = Neither awa	
4	Yes
4	Yes
3	Yes
5	Yes
5	Yes
5	Yes
4	Yes
4	Yes
4	Yes
4	Yes
5	Yes
4	Yes
4	Yes
3	Yes
5	Yes
4	Yes
4	Yes
5	Yes
4	Yes

4	Yes
3	Yes
4	Yes
4	Yes
5	Yes
3	Yes
4	Yes
4	Yes
5	Yes
4	Yes
4	Yes
1	Yes
2	Yes
5	Yes
4	Maybe
4	Yes
4	Yes
4	Yes
3	Yes
5	Yes
4	Yes
4	Yes
5	No

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**Table B2**

*Part II Data*

<b>NTA Management's choice of a Sustainable Organizational Structure for the Establishment of a TRGI</b>	<b>1. Mission (Integrated TRGI)</b>	<b>1. Mission (Independent TGI)</b>	<b>2. Core Values (Integrated TRGI)</b>	<b>2. Core Values (Independent TGI)</b>	<b>3. Leadership and Management (Integrated TRGI)</b>	<b>3. Leadership and Management (Independent TGI)</b>	<b>4. Organization Structure (Integrated TRGI)</b>	<b>4. Organization Structure (Independent TGI)</b>	<b>5. Linkages (Integrated TRGI)</b>	<b>5. Linkages (Independent TGI)</b>	<b>6. Program (Integrated TRGI)</b>	<b>6. Program (Independent TGI)</b>	<b>7. Resources (Integrated TRGI)</b>	<b>7. Resources (Independent TGI)</b>
Integrated type (TRGI)	4	5	5	5	4	4	4	4	5	5	5	4	5	4
Integrated type (TRGI)	5	4	4	4	4	4	5	4	5	3	5	3	5	5
Integrated type (TRGI)	4	4	4	4	4	4	4	3	4	3	4	4	3	4
Integrated type (TRGI)	5	3	5	3	5	3	5	3	5	3	5	3	5	3
Integrated type (TRGI)	4	4	4	4	4	4	4	4	4	4	4	4	3	4
Integrated type (TRGI)	4	4	4	4	4	4	5	4	5	4	5	4	5	4
Integrated type (TRGI)	4	3	4	3	4	3	5	4	5	3	4	4	5	5
Integrated type (TRGI)	5	4	5	5	4	3	5	3	5	3	5	3	4	3
Integrated type (TRGI)	4	4	4	4	4	4	4	3	4	3	4	3	4	3
Integrated type (TRGI)	4	2	4	2	4	2	4	2	4	2	4	2	4	2
Integrated type (TRGI)	4	4	4	4	4	4	4	4	4	4	4	4	5	5

Integrated type (TRGI)	4	3	4	3	4	3	4	3	4	3	4	3	4	3
Integrated type (TRGI)	4	4	4	4	4	4	5	4	4	4	5	4	4	4
Integrated type (TRGI)	4	3	4	4	4	3	3	3	4	3	4	3	4	3
Integrated type (TRGI)	5	3	5	2	5	3	5	1	5	2	5	3	5	3
Integrated type (TRGI)	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Integrated type (TRGI)	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Integrated type (TRGI)	5	2	5	3	5	2	5	2	5	3	5	2	5	2
Integrated type (TRGI)	5	3	4	3	4	3	5	3	4	3	5	3	4	3
Integrated type (TRGI)	5	3	5	3	5	3	5	3	5	3	5	3	5	3
Integrated type (TRGI)	3	3	4	4	4	4	4	4	4	4	4	3	3	3
Integrated type (TRGI)	5	2	5	2	4	4	5	3	5	3	5	3	5	2
Integrated type (TRGI)	4	4	4	3	4	4	4	4	4	4	4	3	4	4
Independent type (TGI)	5	4	5	4	4	4	4	4	5	4	5	4	5	4
Integrated type (TRGI)	4	3	4	3	4	3	4	3	5	3	4	4	4	4
Integrated type (TRGI)	4	3	4	3	4	3	4	3	4	3	4	3	4	3
Integrated type (TRGI)	5	5	5	5	5	5	4	4	5	5	5	4	5	5

Integrated type (TRGI)	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Integrated type (TRGI)	4	4	5	5	4	4	4	4	4	4	4	4	4	4
Integrated type (TRGI)	4	3	4	3	4	3	4	3	4	3	4	3	4	3
Independent type (TGI)	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Integrated type (TRGI)	5	2	4	3	4	3	4	4	5	3	5	3	5	3
Integrated type (TRGI)	5	4	5	4	5	4	5	4	5	4	5	4	5	4
Integrated type (TRGI)	3	3	3	3	3	3	3	3	3	3	3	3	3	3
Independent type (TGI)	2	5	3	3	3	3	3	3	3	3	3	3	3	3
Integrated type (TRGI)	4	3	2	2	4	4	4	4	4	4	2	2	3	3
Integrated type (TRGI)	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Integrated type (TRGI)	5	3	5	3	5	3	5	3	5	3	5	3	5	3
Integrated type (TRGI)	5	4	5	4	5	4	5	4	5	4	5	4	5	4
Integrated type (TRGI)	5	3	5	3	5	3	5	3	5	3	5	3	5	3
Integrated type (TRGI)	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Integrated type (TRGI)	3	3	3	3	3	3	3	4	3	4	3	3	3	3
<b>Mean</b>	<b>4.31</b>	<b>3.57</b>	<b>4.29</b>	<b>3.60</b>	<b>4.21</b>	<b>3.60</b>	<b>4.33</b>	<b>3.52</b>	<b>4.43</b>	<b>3.55</b>	<b>4.38</b>	<b>3.45</b>	<b>4.31</b>	<b>3.60</b>
<b>StDev</b>	<b>0.72</b>	<b>0.86</b>	<b>0.71</b>	<b>0.89</b>	<b>0.56</b>	<b>0.73</b>	<b>0.65</b>	<b>0.80</b>	<b>0.63</b>	<b>0.77</b>	<b>0.73</b>	<b>0.74</b>	<b>0.75</b>	<b>0.86</b>

**Table B3**

*Part III Data*

1. Mission (Integrated TRGI)	1. Mission (Independent TGI)	2. Core Values (Integrated TRGI)	2. Core Values (Independent TGI)	3. Leadership and Management (Integrated TRGI)	3. Leadership and Management (Independent TGI)	4. Organization Structure (Integrated TRGI)	4. Organization Structure (Independent TGI)	5. Linkages (Integrated TRGI)	5. Linkages (Independent TGI)	6. Program (Integrated TRGI)	6. Program (Independent TGI)	7. Resources (Integrated TRGI)	7. Resources (Independent TGI)
4	5	5	5	4	4	4	4	5	5	5	4	5	4
5	4	4	4	4	4	5	4	5	3	5	3	5	5
4	4	4	4	4	4	4	3	4	3	4	4	3	4
5	3	5	3	5	3	5	3	5	3	5	3	5	3
4	4	4	4	4	4	4	4	4	4	4	4	3	4
4	4	4	4	4	4	5	4	5	4	5	4	5	4
4	3	4	3	4	3	5	4	5	3	4	4	5	5
5	4	5	5	4	3	5	3	5	3	5	3	4	3
4	4	4	4	4	4	4	3	4	3	4	3	4	3
4	2	4	2	4	2	4	2	4	2	4	2	4	2
4	4	4	4	4	4	4	4	4	4	4	4	5	5
4	3	4	3	4	3	4	3	4	3	4	3	4	3
4	4	4	4	4	4	5	4	4	4	5	4	4	4
4	3	4	4	4	3	3	3	4	3	4	3	4	3
5	3	5	2	5	3	5	1	5	2	5	3	5	3
5	5	5	5	5	5	5	5	5	5	5	5	5	5
4	4	4	4	4	4	4	4	4	4	4	4	4	4
5	2	5	3	5	2	5	2	5	3	5	2	5	2
5	3	4	3	4	3	5	3	4	3	5	3	4	3
5	3	5	3	5	3	5	3	5	3	5	3	5	3
3	3	4	4	4	4	4	4	4	4	4	3	3	3
5	2	5	2	4	4	5	3	5	3	5	3	5	2
4	4	4	3	4	4	4	4	4	4	4	3	4	4
5	4	5	4	4	4	4	4	5	4	5	4	5	4

4	3	4	3	4	3	4	3	5	3	4	4	4	4	
4	3	4	3	4	3	4	3	4	3	4	3	4	3	
5	5	5	5	5	5	4	4	5	5	5	4	5	5	
5	5	5	5	5	5	5	5	5	5	5	5	5	5	
4	4	5	5	4	4	4	4	4	4	4	4	4	4	
4	3	4	3	4	3	4	3	4	3	4	3	4	3	
4	4	4	4	4	4	4	4	4	4	4	4	4	4	
5	2	4	3	4	3	4	4	5	3	5	3	5	3	
5	4	5	4	5	4	5	4	5	4	5	4	5	4	
3	3	3	3	3	3	3	3	3	3	3	3	3	3	
2	5	3	3	3	3	3	3	3	3	3	3	3	3	
4	3	2	2	4	4	4	4	4	4	2	2	3	3	
5	5	5	5	5	5	5	5	5	5	5	5	5	5	
5	3	5	3	5	3	5	3	5	3	5	3	5	3	
5	4	5	4	5	4	5	4	5	4	5	4	5	4	
5	3	5	3	5	3	5	3	5	3	5	3	5	3	
4	4	4	4	4	4	4	4	4	4	4	4	4	4	
3	3	3	3	3	3	3	4	3	4	3	3	3	3	
<b>Mean</b>	<b>4.31</b>	<b>3.57</b>	<b>4.29</b>	<b>3.60</b>	<b>4.21</b>	<b>3.60</b>	<b>4.33</b>	<b>3.52</b>	<b>4.43</b>	<b>3.55</b>	<b>4.38</b>	<b>3.45</b>	<b>4.31</b>	<b>3.60</b>
<b>StDev</b>	<b>0.72</b>	<b>0.86</b>	<b>0.71</b>	<b>0.89</b>	<b>0.56</b>	<b>0.73</b>	<b>0.65</b>	<b>0.80</b>	<b>0.63</b>	<b>0.77</b>	<b>0.73</b>	<b>0.74</b>	<b>0.75</b>	<b>0.86</b>

**Table B4**

*Part IV Data*

Respondent	Management Level	Department / Branch Office / Project Office	Area of Assignment	1. Planning and designing of sustainable organization al structure and research for change management .	2. Planning and design process of sustainable (energy-efficient and eco-friendly) infrastructure, equipment, and facilities.	3. Research on strategic property locations for building new training centers (locating areas with possible linkages to academe and tobacco growers).	4. Identification of human resource requirements / needed plantilla per department/unit.	5. Financial sustainability management of allocated resources from Tobacco Fund.	6. Procurement of building materials, laboratory equipment, office equipment, furnitures and fixtures.	7. Project monitoring and evaluation.	8. All of the above.	9. None of the above.
1	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	OAD/ Abra Branch Office	Branch Office	1	0	0	1	0	0	1	0	0
2	M3 Manager (JG 14 & 15 or Department Managers)	Ilocos Norte	Branch Office	0	0	0	0	0	0	0	1	0
3	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Vigan Branch	Branch Office	1	0	0	0	0	0	0	0	0
4	M3 Manager (JG 14 & 15 or Department Managers)	Department Manager III	Branch Office	1	1	1	1	1	1	1	1	0
5	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Corporate Planning Department	Department	1	0	0	0	0	0	1	0	0

6	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Industrial Research Department	Department	0	1	1	0	0	0	1	0	0
7	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Ilocos Norte Branch Office	Branch Office	1	0	0	0	0	0	0	0	0
8	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Industrial Research Department	Department	0	0	0	0	0	1	0	0	0
9	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	IRD	Department	0	0	0	0	0	0	0	0	1
10	M3 Manager (JG 14 & 15 or Department Managers)	Branch	Branch Office	0	0	0	1	0	0	0	0	0
11	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	National Tobacco Administration	Branch Office	0	0	0	0	0	0	0	1	0
12	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Pangasinan	Branch Office	1	0	0	1	0	0	1	0	0
13	M3 Manager (JG 14 & 15 or Department Managers)	FRAM TECHNOLOGY AND SERVICES DEPARTMENT	Department	1	0	0	1	0	0	1	0	0

14	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	PANGASINAN BRANCH OFFICE	Branch Office	0	0	0	0	0	0	1	0	0
15	M3 Manager (JG 14 & 15 or Department Managers)	regulation department	Department	0	0	0	0	1	1	1	0	0
16	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Finance	Department	0	0	0	0	0	0	0	1	0
17	M3 Manager (JG 14 & 15 or Department Managers)	Pangasinan Branch	Branch Office	0	0	0	0	0	0	1	0	0
18	Executive (JG 17 to 20 or Administrator / CEO / Director)	NTA Central Office	Governing Board	1	1	1	0	1	1	1	0	0
19	Executive (JG 17 to 20 or Administrator / CEO / Director)	national tobacco administration	Governing Board	1	0	1	1	0	0	1	0	0
20	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	NTA Central Office	Governing Board	1	0	0	1	0	0	0	0	0
21	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Office of the Administrator	Department	0	0	0	0	0	0	0	1	0
22	M3 Manager (JG 14 & 15 or Department Managers)	Industrial Research Department	Department	1	0	0	0	0	0	0	0	0

23	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	DA/NTA- La Union Branch	Branch Office	0	0	0	1	0	0	1	0	0
24	M3 Manager (JG 14 & 15 or Department Managers)	Corporate Planning Dept.	Department	0	0	0	0	0	0	0	1	0
25	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Isabela Branch	Branch Office	0	0	0	1	0	0	1	0	0
26	M3 Manager (JG 14 & 15 or Department Managers)	Vigan Branch	Branch Office	0	0	1	0	0	0	0	0	0
27	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	Office of the Administrator	Department	1	1	1	1	1	1	1	1	0
28	M4 Manager (JG16 or Deputy Administrator)	Office of the Deputy for Administrator for Support Services	Department	0	0	0	0	0	0	0	1	0
29	M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	National Tobacco Administration - Abra Branch	Branch Office	0	0	0	0	0	0	0	1	0
30	Executive (JG 17 to 20 or Administrator / CEO / Director)	Office of the Governing Board	Governing Board	0	0	0	0	0	0	0	1	0
31	M2 Manager (JG 12 & 13 or Division Chief / Chief	Internal Audit Department	Governing Board	0	0	0	0	1	0	1	0	0

32	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	Industrial Research Department	Department	1	0	0	1	0	1	0	1	0
33	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	Corporate Planning Department	Department	0	0	0	0	0	0	0	1	0
34	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	Corporate Planning Department	Department	0	0	0	0	0	0	0	0	1
35	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	Administrative Department - Central Office	Department	1	1	1	1	1	1	1	0	0
36	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	INTERNAL AUDIT DEPARTMENT	Department	0	0	0	0	0	0	0	0	1
37	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	LA UNION BRANCH OFFICE	Branch Office	1	1	1	1	0	1	1	0	0
38	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	National Tobacco Administration Isabela Branch Office	Branch Office	0	0	0	0	0	0	1	0	0
39	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief	Cagayan	Branch Office	0	0	0	1	0	0	1	0	0

40	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	NTA-CAGAYAN BRANCH OFFICE	Branch Office	0	0	0	0	0	0	1	0	0
41	Agriculturist / Supervisors) M2 Manager (JG 12 & 13 or Division Chief / Chief Agriculturist / Supervisors)	ADMINISTRATIVE DEPARTMENT	Department	1	0	0	1	0	0	0	0	0
42	Agriculturist / Supervisors) M3 Manager (JG 14 & 15 or Department Managers)	Internal Audit Department	Governing Board	1	0	0	1	1	0	0	0	0
				<b>17</b>	<b>6</b>	<b>8</b>	<b>16</b>	<b>7</b>	<b>8</b>	<b>20</b>	<b>12</b>	<b>3</b>