



**Republic of the Philippines**  
**Department of Social Welfare and Development**  
Batasan Pambansa Complex, Constitution Hills  
Quezon City  
Telephone No. 931-8101 to 07

**MEMORANDUM CIRCULAR NO. 15**  
**SERIES OF 2005**

**SUBJECT : ENHANCED PERFORMANCE MANAGEMENT SYSTEM**

**I. Rationale**

The Department's mission reads

“ To provide social protection and promote the rights welfare of the poor, vulnerable and the disadvantaged individual, family and community to contribute to poverty alleviation and empowerment through SWD policies, programs, projects and services implemented with or through LGUs, NGOs, POs, GOs and other members of civil society.”

Service to the poor and the disadvantaged is at the heart of the DSWD. As a professional organization, the Department recognizes that quality service is a product of competent individuals and a competent organization.

In order for the Department to ensure that its vision, mission and goals are met in an effective manner, an enhanced performance management system is needed.

The Performance Management System (PMS) is a framework of policies and practices that hold officials and employees accountable for the organizational and employees individual performances in order to focus/improve organizational and individual performance.

**II. Legal Bases**

The Civil Service mandates the establishment of a performance evaluation system in every department or agency. Implementing Rule IX, under Book V of Executive Order 292 of the Civil Service law states: “ that the system shall be so designed and administered to continuously foster improvement of employee performance; enhance organizational effectiveness and productivity and; provide an objective performance rating which shall serve as basis for incentives and rewards...”

### III. Objectives

The system aims to achieve the following objectives:

1. To ensure that organizational and individual goals and expectations are consistent with strategic planning initiatives and contribute towards achievement of DSWD organizational outcome;
2. To promote excellence in organizational and individual performances and to ensure/enhance effectiveness and productivity of the organization and employees;
3. To establish/define clearly what officials and individuals/employees are accountable to delivering to the public and assure their accountability or commitment to good governance in the performance of their duties and responsibilities;
4. To identify and manage high performance and low performance including training needs for the maintenance or improvement of officials' and employees' performance;
5. To create a valid database for officials'/employees' career development.

### IV. Coverage

Performance Management shall apply to all career officials and employees as follows:

- |                       |   |   |
|-----------------------|---|---|
| 1 <sup>st</sup> level | - | clerical, trades, crafts and custodial service positions which involve non-professional or sub-professional work in a non-supervisory capacity requiring less than four years of college education                                  |
| 2 <sup>nd</sup> level | - | professional, technical and scientific positions which involve professional, technical or scientific work in a non-supervisory or supervisory capacity requiring at least four years of collegiate work; up to division chief level |
| 3 <sup>rd</sup> level | - | positions in Career Executive Service   |

It shall also apply to non-career, casual and contractual employees.

## **V. Definition of Terms**

1. Office – refers to a Field Office, Bureau, Service of the DSWD.
2. Division – refers to the structural level immediately after the office of the Directors and which is headed by the division chief.
3. Head of Office – refers to the Regional Director, Bureau Director, and Service Director of the DSWD.
4. Coach Monitor – refers to Assistant Secretary assigned to coach and monitor an official or head of office.
5. Immediate Supervisor – refers to an official assigned to directly supervise a first, second, level and/or third level staff of the DSWD.
6. Core Work – programs, activities and projects rooted in an office's/division's mandate and key result areas as identified in the DSWD Rationalization and Streamlining Plan.
7. Cluster – refers to the three clusters in the Central Office namely Policy and Programs Group, Operations and Capability Building Group and General Administration and Support Services Group.

## **VI. The Performance Management Cycle**

The performance management cycle is a twelve-month cycle, starting in January 01 and ending in December 31. It involves a three-step management cycle: (a) performance planning and contracting, (b) performance checkpoint and monitoring and (c) performance appraisal and evaluation. This covers two rating periods – 1<sup>st</sup> semester covering the period January 01 – June 30, and 2<sup>nd</sup> semester covering the July 01 – December 31 period.

### **A. Performance Planning and Contracting**

Before the start of the year, Offices shall prepare their Work and Financial Plan based on their mandate and the DSWD thrust and directions for the coming year. The WFP shall be the basis for Performance Contracts (PC) of Officials and Staff.

The Official and Staff with their respective coach monitors and supervisors, shall identify and agree on the outputs (key results) to be committed for the semester and the corresponding performance indicators to measure the same.

Outputs or Key Results shall be identified for pertinent Key Result Areas (KRA) of each Office/Bureau/Service.

The Performance Contract of Officials and Staff shall also indicate key results relative to the performance of their functions/responsibilities and/or tasks delegated by the Secretary if applicable.

The Performance Contract of the division chiefs shall be derived from the commitments of the heads of office while that of the individual division staff, from the commitments of the division head.

The PC of 2<sup>nd</sup> and 1<sup>st</sup> level staff, shall be approved by their respective division chiefs not later than the ten (10) working days after the date of the latest performance assessment of the head of office.

PCs of Division Chiefs and Assistant Directors shall be approved by their head of office.

1 <sup>st</sup> Semester Contract	Prepared starting December 16 of departing year. Approved 10 working days after assessment of head of office.
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2 <sup>nd</sup> Semester Contract	Prepared starting June 16 of the current year. Approved 10 working days after assessment of head of office.
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Performance Contracts of heads of offices and EXECOM members shall be approved by the Secretary five (5) working days after the Official's latest performance assessment.

Current year Annual Contract and 1 <sup>st</sup> Semester Contract	Prepared starting December 16 of departing year. Approved 5 working days after latest assessment.
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2 <sup>nd</sup> Semester Contract	Prepared starting June of current year. Approved 5 working days after latest assessment.
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A form for the purpose (Performance Contract) shall be used. (Annex 1)

## **A.1. Components of Performance Contract**

- **Performance Indicators**

- Performance Indicator of quantity, quality and time shall measure results/outputs, which are verifiable by supporting documentation.
- Target for quantity should consider existing need/condition, resources and performance trend;
- Target for quality should adhere to set standards to ensure consistency of quality across units;
- Target for time should be specific as much as possible on the expected period for delivery of result. Specific period, month, quarter or semester whichever is applicable should be indicated;
- A result/output may not be necessarily measured by all three measures of quantity, quality and time but by that which is relevant and appropriate to determine result effectiveness. For a result perhaps only one measure may apply, for some, perhaps two measures and for others the three measures may be used.

- **Ratings/Weights Assignments**

- Weights assigned to each Key Result Area of officials/employees shall vary depending on the specialized functions of said officials/employees. Assigned weights shall have to be negotiated and agreed with the Coach Monitor/Supervisor and will add up to a total of one hundred percent (100%).
- Results/outputs of identified core works or tasks under each KRA shall be assigned higher weights corresponding to efforts put in to deliver results.

## **B. Performance Checkpoint/Monitoring**

This involves formal and informal feedbacking/coaching sessions between raters and ratees to ensure that committed results are achieved. This serves as a venue/opportunity for monitoring status of committed results. Appropriate actions/interventions to be undertaken shall be agreed upon by both parties as needed. This may involve changing some key results committed in the PC. A Checkpoint and Monitoring Form shall be used for the purpose. (Annex 2)

This may be done as often as needed. However, changes in the PC can only be made up to May 31 for the first semester and November 30 for the second semester.

In the case of Heads of Offices, check point and monitoring shall be done with the coach monitor. Changes in the PC of the head of office shall be recommended for approval by the Coach Monitor and approved by the Head of the Cluster and the Secretary.

### **C. Performance Appraisal and Evaluation**

This involves assessment of performance of Officials and staff for a six-month period - January to June and July to December of every year.

Performance Appraisal for all levels shall be completed within 31 working days after end of each rating period.

- Schedule of Performance Appraisal and Evaluation shall be set:
  - for EXECOM members by HEA
  - for Heads of Office PMS Secretariat – CO
  - for Assistant Directors and Division Chiefs Heads of Office
  - for staff below Division Chiefs Division Chief

- **Appraisal Raters**

The following raters shall give the rating for each committed result based on actual performance against targets:

- Secretary - Execom members
- Undersecretaries - Directors
- Directors - Assistant Director/DCs
- Division Chiefs - Staff below Division Chief

A Performance Appraisal Matrix (PAM) [Annex 3] shall be accomplished (complete with self rating) and shall be the tool for rating officials and staff by their respective raters.

### **C.1. For Heads of Offices**

- The Head of Office shall accomplish the performance appraisal matrix or PAM on the last month of the rating period for review by the Coach Monitor;
- The Coach Monitor shall provide the PMS Secretariat in the Central Office with the final PAM at least one week before the scheduled appraisal for reproduction and distribution to the Rater and members of the Technical Support Group (TSG).
- The Rater must receive the final PAM to be able to review the PAM prior to the appraisal.
- During appraisal, PMS Secretariat in the CO and Coach Monitor must be present. Other officials/staff may attend with the approval of the rater.

### **C.2. For Assistant Directors and Division Chiefs**

- The Assistant Director and Division Chief shall accomplish the PAM on the last month of the rating period.
- The Head of Office shall schedule the appraisal session for each of the Division Chiefs and the Assistant Director.
- During appraisal, the Director shall discuss the rating given and other related matters on performance. All pertinent information shall be recorded for reference purposes.

### **C.3. For Staff Below Division Chiefs**

- The Staff shall accomplish the PAM on the last month of the rating period.
- The Division Chief shall schedule the appraisal session for each of the staff.
- During appraisal, the Division Chief shall discuss the rating given and other related matters on performance. All pertinent information shall be recorded for reference purposes.

## VII. Implementing Guidelines

### A. Technical Support Group for Performance Management System

A Technical Support Group ( TSG ) for the Performance Management System shall be created at the Central Office and Field Offices to serve as a focal group in developing the PMS and ensuring its implementation and institutionalization in the Department.

#### A.1. Central Office Technical Support Group

This shall be composed of representative from the three clusters in the Central Office and some Regional Offices. These are Policy and Programs Group (PPG), Operations and Capability Building Group (OCBG), General Administration and Support Service Group (GASSG), Regions IV-A and NCR.

It shall be headed by an Assistant Secretary designated by the Secretary of the Department. The Directors from Human Resource Management and Development Service (HRMDS) and Policy Development and Planning Bureau (PDPB) shall act as Vice-Chairpersons.

The TSG shall ensure that the technical aspects relative to the performance management system are addressed.

TSG members has the following functions by phase :

#### ❖ *Performance planning and contracting*

- Ensure that the results under Key Result Area and their corresponding indicators and standard of performance has been set out and agreed by their respective cluster/Regional Directors.
- Provide inputs to draft contracts of Field Office/ Service/ Bureau Directors and for other Unit Heads relative to their cluster's areas of concerns upon the request of the Coach Monitor.

#### ❖ *Performance Appraisal and Evaluation*

- Pre-appraisal
  - Individually review performance appraisal matrix vis-à-vis signed contract and claimed results based on their areas of concern.



- Validate claimed results by getting data/information from Cluster members regarding compliance of officials to committed results.
- During appraisal
  - Attend appraisal session if needed and provide information on matters within the responsibility of their Cluster.
  - Take note of issues relative to their areas of concern and report the same to their Cluster Head for information and appropriate action.
- Post appraisal
  - Provide inputs to reports on performance appraisal sessions, prepared by the Secretariat to ensure that issues/concerns are properly documented.
- ❖ Hold regular meetings to resolve issued/concerns that pertain to the technical aspect of the system.

## **A.2. Field Office**

The Regional Technical Support Group (RTSG) on the PMS shall be composed of the three Division Chiefs (DCs) or their representatives and the Management Audit Analyst (MAA), the chief of Technical Assistance Division (TAD) shall head the Regional TSG.

The RTSG shall ensure that the technical / substantial aspects relative to Performance management in the field office are attended to and complied with. Further, identify gaps, areas of improvement, as well as best practices that can improve the PMS.

The RTSG shall have the following functions:.

- Review and ensure that in the preparation of PCs in the field office, the thrust and directions of the Department for the year and the work and financial plan of the Field Office are considered.
- Provide technical support to RD and ARD in the drafting of their PCs within their division's area of responsibility and in observance of set standards of form and substance.

- Coordinate and review targets to maximize resources, minimize overlapping of functions and clarify the delineation of roles and responsibilities among divisions.
- Prepare a report to the TSG Central Office on the results of the performance appraisal of the Field Office.
- Report to the TSG at the Central Office on the observed gaps, gray areas, and other pertinent information that will help in the improvement and institutionalization of the PMS.

## **B. Performance Management System Secretariat**

### **B.1. Central Office**

The Secretariat shall be headed by the HRMDS Director with six staff from the HRMDS and with any 2 providing secretariat services per appraisal.

The Secretariat shall be responsible in collaborating with the coach monitor in ensuring timely submission of documents ( contracts, performance appraisal matrix, etc).

The Secretariat shall be responsible for the documentation of the proceedings, particularly on issues raised, actions taken and recommendations. The HRMDS Director as head of the Secretariat shall be responsible in ensuring proper documentation of the highlights by the secretariat assigned in each of the appraisal session. These documents shall be shared with the Office in-charge of institutional development.

Records and files relative to the Performance Management System shall be with the HRMDS.

The HRMDS Director shall be responsible in the preparation and issuance of directions/clarifications relative to PMS as approved by and cleared by EXECOM.

The PMS Secretariat shall also act as Secretariat to the Technical Support Group in the Central Office.

Shall disseminate managerial competency tool and job related behavior tool for pertinent staff and collect results from designated focal persons on PMS in each Bureau/Service/Office.

## B.2. Field Office

The Director shall designate a staff from each technical division which together with a HRMO/ AO from Personnel unit shall comprise the secretariat. The HRMO/ AO shall be designated as head. The functions of the Secretariat are as follows:

Shall disseminate managerial competency tool and job related behavior tool to pertinent staff and tally results.

Shall validate the ratings of all staff except that of the Head of Office.

Records and files relative to the PMS shall be the responsibility of the HRM unit.

## C. Rating Performance

### C.1. Performance Areas

The officials and staff shall be rated on the following areas:

- **Managerial Competency** – gauges leadership competencies of officials and their ability to execute functions of management (e.g. planning, organizing, leading, controlling, networking, etc.).

The Managerial Competency Areas tool shall be used for the purpose (Annex 4).

- All Officials, including Division Chiefs, will be rated on his/her managerial competency. This shall comprise 30% of the final performance rating for the period.
- The tool shall be accomplished by the officials' immediate supervisor and all his/her subordinates.
- The subordinates of the official/division chief are identified as follows:

For Central Office

Official	Subordinates/Raters
HOBS	all Division Chiefs, ABD(if applicable)
Asst. Bureau Director	All Division Chiefs
Division Chief	All Unit Heads and in the absence of which, 2 subordinates

For Field Office

Supervisor	Raters
Regional Director	ARD, all Division Chiefs and all Center Heads
Asst. Regional	All Division Chiefs
Division Chief	All Unit Heads
Center Heads	2 Subordinates

- The Secretariat/HRMO shall choose randomly among the Division Chief's/Center Head's subordinates the final raters. They shall ensure that the raters will not be the same raters for the succeeding rating periods so that all staff will be given the chance to rate their Division Chief/Center Head.
- The Secretariat/HRMO shall distribute and collect the accomplished tool from the designated raters two weeks before the end of the rating period.
- Computation of Rating for Managerial Competency
  - Get the Average Score by adding all the ratings and dividing it by the total number of items listed in the tool. Divide the average score by 5 then multiply it to 100 to get the Average Point Score (APS).
    - The rating of the immediate supervisor will have a weight of 70%. Multiply the APS to 0.70 or 70%.
    - The ratings of his/her subordinates will comprise the remaining 30%. Get the APS given by all subordinates and multiply it to 0.30 or 30%.
  - To get the final rating for Managerial Competency, add the APS given by the Supervisor and subordinates.

- **Performance-based** - measures technical or functional competencies on the basis of officials' and staffs' duties and responsibilities in the context of the office to which they belong.

Only verified and documented results shall be given rating applying the principle of "only claimed result verified and/or with document as evidence of performance will be measured and rated.

- Computation of Rating for Quantity

- For officials'/staff' targets which are met, rating is equivalent to full weight assigned to the results.
- For targets which are unmet, rating to be given will be based on computation: actual performance over target multiplied by the given weight.

- Computation of Rating for Quality

- The standards for rating should cover a description of any of the following:
  - The benefit of using the performance output;
  - How the outputs be used by the target group; and/or
  - The result of the service or performed tasks to the envisaged beneficiaries.

- Computation of Rating for Time

- For targets which are submitted/done on time, full rating shall be given.
- For targets which are submitted/done after the end of the rating period, zero rating shall be given.
- For targets which are submitted/done after target time but within the rating period, rating is computed according to the formula:

If the delay is 1 day - 30 days, it is considered as 1 month

$$\text{Weight} / 6 \text{ month} = X$$

$$\text{Weight} - X = \text{Score for time}$$

*ju*

▪ Computation of Average Point Score (APS)

Formula:

$$\frac{\text{Quantity} + \text{Quality} + \text{Time}}{3}$$

3

- Ratings for quality and time shall follow the rating given for quantity because actual performance with quality and time is dependent on quantity accomplished.
- An official / staff who is not able to deliver committed results because of failure of another official/staff shall be given full rating. However an equivalent rating shall be deducted from the official/ staff who / or whose office failed to deliver the needed inputs.
- Zero rating shall be given on committed results not delivered except beyond control of the official/staff and such reason is concurred / accepted by the rater.
- To ensure integrity of the Performance Contracts, no negotiation on results or indicator measures shall be entertained during the assessment.
- No substitution shall be permitted for committed results not delivered. However, additional results accomplished on top of those committed shall be recognized.
- If the evidences or documents, which intend to verify, claimed results are not available during the assessment, the ratee may request for a deferment on the rating. However, said evidence must be presented within one week after the assessment.
- In case of contested ratings, the arbiter shall be the following officials:
  - Secretary - Directors
  - Coach Monitor - Asst. Regional/Bureau Directors  
and Division Chiefs
  - Directors - Staff below division chiefs

- Ratings can only be contested a week after it was given and if there were errors detected in the computation. The contesting official/staff shall submit a written communication on the contested rating with documentary support to the supervisor who will look into the issue and submit their findings and recommendation to the arbiter.
- For an official/staff to get an Outstanding adjectival rating, he/she must not obtain a zero rating for any of the key result he/she committed. If his/her over-all performance rating ranges from 98-100 but he/she got a zero rating for a key result, his/her numerical rating will remain but his/her adjectival rating will be Very Satisfactory.
- **Job-Related Behavior** – gauges behavior of staff through his/her intellectual, personal, and relationship competencies

The Job-Related Behavior Appraisal tool shall be used for the purpose (Annex 5).

- All staff below division chief shall be rated on his/her job-related behavior. This shall comprise 30% of the final rating.
- The tool shall be accomplished by the staff's supervisor and two (2) of his/her peers or colleagues who may not necessarily be from the same office/unit. The rating of the supervisor will comprise 70% while ratings of the 2 peers or colleagues will comprise 30%.
  - The staff being rated shall identify 2 of his/her peers or colleagues and submit the names to the Secretariat/HRMO on the last month of the rating period.
  - The Secretariat/HRMO shall distribute and collect the accomplished tool from the designated raters two weeks before the end of the rating period.
- Computation of Rating for Job-related Behavior
  - Get the Average Score by adding all the ratings and dividing it by the total number of items listed in the tool. Divide the average score by 5 then multiply it to 100 to get the Average Point Score (APS).
    - The rating of the immediate supervisor will have a weight of 70%. Multiply the APS to 0.70 or 70%.

- The ratings of his/her two peers/colleagues will comprise the remaining 30%. Get the APS given by his/her peers/colleagues and multiply it to 0.30 or 30%.
- To get the final rating for Job-related Behavior, add the APS given by the Supervisor and peers/colleagues.

## C.2. Computation of Over-all Performance Rating

- For Execom members, Directors, Asst. Regional/Bureau Directors, and Division Chiefs

The semestral ratings (1<sup>st</sup> and 2<sup>nd</sup> semester) shall comprise the ratings the official and division chief obtain from the following performance areas during the assessment:

Managerial Competency Areas = 30%

Performance-based Areas = 70%

- Get the Average Point Score (APS) of Managerial Competency Areas, multiply it to 0.30 or 30%.
  - Get the APS of Performance-based Areas and multiply it to 0.70 or 70%.
  - Add the APS of Managerial Competency Areas and Performance-based Areas to get the over-all performance rating. Refer to the rating scale for the adjectival rating.
- For Staff below Division Chief

The semestral ratings (1<sup>st</sup> and 2<sup>nd</sup> semester) shall consist of all the final ratings the staff obtain from the following performance areas during the assessment:

Performance-based Areas = 70%

Job-related Behavior Areas = 30%

- Get the Average Point Score (APS) of Job-related Behavior Areas, multiply it to 0.30 or 30%.



- Get the APS of Performance-based Areas and multiply to 0.70 or 70%.
- Add the APS of Job-related Behavior Areas and Performance-based Areas to get the over-all performance rating. Refer to the rating scale for the adjectival rating.

### C.3. Computation of Annual Performance Ratings

The annual ratings shall constitute the average of the 1<sup>st</sup> and 2<sup>nd</sup> semestral ratings.

### C.4. Rating Scale

The following rating scale shall be utilized to find the equivalent adjectival rating.

<b>Over-All Rating</b>	<b>Adjectival Rating</b>	<b>Definition</b>
100 – 98	Outstanding	Performance represents extra ordinary level of achievement and commitment in terms of quality and time, technical skill and knowledge, ingenuity, creativity and initiative.  Performance is of marked excellence recognized by peers.
97-86	Very Satisfactory	Performance demonstrate's job mastery and meets target by at least 86%.
85-76	Satisfactory	Performance met at least 85-76% of targets
75-66	Unsatisfactory	Performance is below 76% but could stand improvement.
65 & below	Poor	Performance requirement is not met or only met 65% and below. There is no evidence that performance can be improved.

**VII. Budget**

Offices shall provide funds for activities and materials required for the implementation of the PMS.

Travelling expenses of the appraisal team and secretariat shall be charged to their own office's budget as need arise.

**VIII. Effectivity**

This Circular takes on effect immediately and shall continue to be in force and in effect until revoked. Previous issuances contrary to or inconsistent herewith are hereby repealed, modified or amended accordingly.

Signed this 7th day of July, 2005 in Quezon City, Philippines.

  
**CORAZON JULIANO SOLIMAN**  
Secretary

LFP/MGM/MASG/mgy/  
6/30/05 2:00 PM

**PERFORMANCE CONTRACT FOR THIRD LEVEL OFFICIALS**  
 (Name of Office/Bureau/Service)  
 January to June 2005

KEY RESULT AREA/KEY RESULT	WEIGHT (100%)	PERFORMANCE INDICATOR/MEASURE		
		QUANTITY	QUALITY	TIME

Prepared by:

Approved by:

\_\_\_\_\_  
 Name and Signature of Director  
 Date:

\_\_\_\_\_  
 Name and Signature  
 of Coach Monitor  
 Date:

\_\_\_\_\_  
 Name and Signature of the  
 Undersecretary of the Cluster - Rater  
 Date:

*Handwritten mark*

**PERFORMANCE CONTRACT FOR ASSISTANT DIRECTORS AND DIVISION CHIEFS**  
 (Name of Office/Bureau/Service)  
 January to June 2005

KEY RESULT AREA/KEY RESULT	WEIGHT (100%)	PERFORMANCE INDICATOR/MEASURE		
		QUANTITY	QUALITY	TIME

Prepared by:

Approved by:

\_\_\_\_\_  
 Name and Signature of Director/DC  
 Date:

\_\_\_\_\_  
 Name and Signature of the  
 Director -Rater  
 Date:

*mp*

## PERFORMANCE CONTRACT FOR RANK AND FILE EMPLOYEES January to June 2005

Employee:  
Position

Office:  
Division/Section:

Actual Duties and Responsibilities	Key Result Area/ Key Result	Weight	Performance Indicators/Measure		
			Quantity	Quality	Time Frame
(Total)		100%			

I agree to achieve these targets for the rating period \_\_\_\_\_ to \_\_\_\_\_, 20\_\_ targets for the said rating period. I agree to assist the employee achieve his/her targets for the said rating period.

Approved by: \_\_\_\_\_

\_\_\_\_\_  
Employee/Ratee

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor/Rater

\_\_\_\_\_  
Date

\_\_\_\_\_  
Head of Office

\_\_\_\_\_  
Date

*Jan*

**Matrix on Agreements Reached and Status of Compliance to Agreements  
Relative to Performance Checkpoint and Monitoring**

Issue/Concern Needing Action	Actions Planned and Undertaken							
	By Official				By Coach Monitor			
	Action	Time Frame	Status	Date	Action	Time Frame	Status	Date

Noted by:

Aproved by:

\_\_\_\_\_  
Name and Signature of Employee/Official

\_\_\_\_\_  
Name and Signature of Coach Monitor

\_\_\_\_\_  
Name and Signature of Secretary

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

*sw*

**PERFORMANCE APPRAISAL MATRIX FOR THIRD LEVEL OFFICIALS**  
 (Name of Office/Bureau/Service)  
 January to June 2005

KEY RESULT AREA/KEY RESULT	WEIGHT	Quantity			Quality			Time			Average Point Score
		Target	Actual	Rating	Target	Actual	Rating	Target	Actual	Rating	

\_\_\_\_\_  
 Name and Signature of Director  
 Date:

\_\_\_\_\_  
 Name and Signature  
 of Coach Monitor  
 Date:

\_\_\_\_\_  
 Name and Signature of the  
 Undersecretary of the Cluster - Rater  
 Date:

**PERFORMANCE APPRAISAL MATRIX FOR ASSISTANT DIRECTORS AND DIVISION CHIEFS**  
 (Name of Office/Bureau/Service)  
 January to June 2005

KEY RESULT AREA/KEY RESULT	WEIGHT	Quantity			Quality			Time			Average
		Target	Actual	Rating	Target	Actual	Rating	Target	Actual	Rating	Point Score

\_\_\_\_\_  
 Employee/Ratee                      Date

\_\_\_\_\_  
 Supervisor/Rater                      Date



**PERFORMANCE APPRAISAL MATRIX FOR RANK AND FILE EMPLOYEES**  
**January to June 2005**

Employee:  
Position

Office:  
Division/Section:

Actual Duties and Responsibilities	Key Result Area/ Key Result	Weight	Quantity			Quality			Time			Average Point Score
			Target	Actual	Rating	Target	Actual	Rating	Target	Actual	Rating	
(Total)		100%										

Noted by:

\_\_\_\_\_  
Employee/Ratee      Date      \_\_\_\_\_  
Supervisor/Rater      Date

\_\_\_\_\_  
Head of Office      Date

*Handwritten initials*

## Section II: Managerial Competency Areas

Name of Official:  
Position:

Name of Rater:  
Date of Appraisal:

Please rate the official on his level of competency using 1-5, 5 being the highest rating and 1 being the lowest rating. A rating of 3 indicates that the ratee demonstrates competence and is effective.

Indicate a rating per item on each Managerial Competency Area. Where 5 means ALL THE TIME, 4 = OFTEN, 3= SOMETIMES, 2= SELDOM and 1= HARDLY EVER/NEVER

Managerial Competency Area	Rating				
	1	2	3	4	5
<b>Planning</b> 1. Takes time to conduct planning sessions during theyear; 2. Sets short term, medium term and long term goals in line with national interest/thrusts and directions ofthe Department; 3. Anticipates potential constraints and problems and prepares possible solutions; 4. Frequently introduces breakthrough strategies andplans that add value to the office; 5. Develops objectives, programs, action steps,schedules, budgets and procedures;					
<b>Organizing</b> 1. Re-engineers the work systems 2. Matches staff competency and resources with the project requirements 3. Identifies and groups the work to be performed so it can be accomplished effectively by people 4. Delegates/entrusts responsibility and authority toothers and establishes accountability for results 5. Manages constraints/problems					
<b>Leading</b> 1.Champions the office's vision, mission, goals andcredo/values, ensuring that ideas and intended actions become reality 2. Expects excellence, motivates, inspires,encourages, and impels people to act 3. Open to ideas, innovator, initiator, discoverer,experimenter, pioneer, reformer, thinks out of the Box.A change agent, risk-taker; 4. Makes prompt and sound decisions, implementsdisciplinary measures, and communicates to create an understanding among people so they can act effectively as a team; 5. Coaches and improves on his staff's quality of output, provides incremental value/influence to policy,program or project formulation and implementation;					
<b>Controlling</b> 1.Develops performance standards, measures and evaluates performance, correcting and improving performance and results when needed; 2. Attains approved targets; 3. Manages resources and maintains assets ensuring that they are in good condition;					

Managerial Competency Area	Rating				
	1	2	3	4	5
4. Ensures management support such that procurement, timeliness of disbursements contribute to the success of the program or project;  5. Monitors effective enforcement of the organization's policies, rules and regulation and takes correctiveactions as needed					
<b>Networking</b>  1. Generates, develops and sustains partnerships with government, non-government, foreign organizations and the private sector for the benefit of his office  2. Has good public relations, personal relations,cooperation and tact  3. Has broad knowledge of trends and current practices;  4. Assists managers in their local relationship;  5. Always participates in intra-department and inter-agency activities;					
<b>Integrity</b>  1. Implements the code of good governance and removes corruption and dishonesty from his/her office,earning the respect of subordinate, superior andpeers;  2. Exhibits professionalism and is transparent in all public transactions;  3. Internalizes his/her public accountability;  4. Upholds public interest over political and personal interest;  5. Provides superior public service and is never short on quantity of his/her work.					

Total Score  
Section 2:

Average Score  
Section 2:

COMMENTS/SUGGESTIONS FOR IMPROVEMENTS:

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Note:

This tool should be treated and kept confidential by rater/supervisor/peers who are assessing the staff.  
The rating by the peers shall be forwarded to the supervisor of the staff being rated.

### Job Related Behavior Appraisal Form for Multi-Source Respondents

Name of Ratee: \_\_\_\_\_ Name of Appraiser \_\_\_\_\_  
 Position/Unit: \_\_\_\_\_ Category: Supervisor/Peer/Customer/Client/  
 Subordinate/Ratee (please encircle)  
 Date of Appraisal: \_\_\_\_\_

Instruction: On a scale of 5 to 1 where 5 represents the highest and 1 is the lowest, encircle the appropriate number that best describe the ratees on the different behavior areas:

**A. Intellectual/Functional Competences** (Demonstrates the mental and physical requirements for performing the job and is able to comply required training and experience to job performance)

1. Demonstrates required knowledge and skills and appropriately asks for help	5	4	3	2	1	No answer/ don't know
2. Shows readiness to try new ways and to meet new requirements	5	4	3	2	1	no answer/ don't know
3. Performs and completes tasks with accuracy and within prescribed allotted time.	5	4	3	2	1	no answer/ don't know
4. Utilizes resources, establishes priorities and organizes work to meet required deadline	5	4	3	2	1	No answer/ don't know
5. Recognizes and takes initiative in finding alternate paths or solutions to problems within scope of job responsibilities.	5	4	3	2	1	no answer/ don't know
6. Deals with ambiguity and adapts to risky circumstances.	5	4	3	2	1	no answer/ don't know
7. Listens to and understand explanations, directions and expressions of need, whether from customers, supervisor or co-workers.	5	4	3	2	1	no answer/ don't know

**B. Personal Competences** ( Ability to demonstrate personal discipline and composure in the midst of adversity at work; works well with others; adheres to the standards of ethics in public service.)

1. Responds with a willingness to help the customer whether "internal or external". Shows respect toward those for whom service is being provided.	5	4	3	2	1	no answer/ don't know
2. Takes personal responsibility for outcomes and avoids excuses.	5	4	3	2	1	no answer/ don't know
3. Display a positive and "work ethic" that adheres to the ethical guidelines set by the government (RA 3019, RA 6713)	5	4	3	2	1	no answer/ don't know
4. Show commitment to the organization's reputation and concern with how one's own action affect it	5	4	3	2	1	no answer/ don't know
5. Display a sense of pride in work	5	4	3	2	1	no answer/ don't know

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6. Consult others when making ethical decisions and when faced with ethical dilemmas.	5	4	3	2	1	no answer/ don't know
7. Implement a course of action meant to resolve ethical dilemmas.	5	4	3	2	1	no answer/ don't. know
8. Seeks to learn more about the job and the organization.	5	4	3	2	1	no answer/ don't know
9. Clearly expresses need, explanations and directions to others.	5	4	3	2	1	no answer/ don't know
<b>C. Relationship Competencies (Ability to interact effectively with colleagues, superiors, peers, subordinates and customer)</b>						
1. Shows respect towards to those for whom service is being provided.	5	4	3	2	1	no answer/ don't know
2. Keep co-workers informed of changes in process/procedures in the organization/unit that could impact their job.	5	4	3	2	1	no answer/ don't know
3. Constructively responds to suggestions and feedback received from others.	5	4	3	2	1	no answer/ don't know
4. Motivates people to work jointly toward common goals.	5	4	3	2	1	no answer/ don't know
5. Supports group decisions and act in solidarity.	5	4	3	2	1	no answer/ don't know
6. Creates a climate of trust, commitment, respect and empowerment.	5	4	3	2	1	no answer/ don't know
7. Demonstrates sensitivity to the interest, opinions and feelings of others.	5	4	3	2	1	no answer/ don't know
8. Gives and receive criticisms constructively and takes responsibility of one's action.	5	4	3	2	1	no answer/ don't know

COMMENTS/SUGGESTIONS FOR IMPROVEMENTS:

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\_\_\_\_\_  
Name and Signature of Rater

\_\_\_\_\_  
Date

Note:

This tool should be treated and kept confidential by rater/supervisor/peers who are assessing the staff. The rating by the peers shall be forwarded to the supervisor of the staff being rated.

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