

**ADMINISTRATIVE ORDER**NO. 18Series of 2029**SUBJECT : GUIDELINES ON THE IMPLEMENTATION OF THE ENHANCED  
DSWD STRATEGIC PERFORMANCE MANAGEMENT SYSTEM****I. RATIONALE**

Aligned with the provisions of Civil Service Commission (CSC) Memorandum Circular (MC) No. 6, Series of 2012<sup>1</sup>, the DSWD issued Administrative Order (AO) No. 23, Series of 2018 providing for the Department's Strategic Performance Management System (DSPMS). The Strategic Performance Management System (SPMS) is anchored on the Organizational Performance Indicator Framework (OPIF) used by the Department of Budget and Management (DBM) to measure agency performance; the Results-Based Performance Management System (RBPMS); and the planning, monitoring and evaluation system of the Department's Strategic Plan. Its issuance serves as the fundamental basis for effective cascading of the Department of Social Welfare and Development (DSWD) commitments, priorities, and structuring of institutional accountability to various levels of the organization, thereby ensuring the attainment of organizational outcomes.

Since its implementation, the DSPMS has encountered many issues and developments that call for the enhancement of the system. To accommodate the needs of the time and to streamline the processes, this Administrative Order is hereby issued to lay down the enhanced guidelines for the DSPMS implementation.

**II. LEGAL BASES**

- A. Rule X of the Omnibus Rules Implementing Book V of EO No. 292, Series of 1987<sup>2</sup> mandating the CSC to establish a performance evaluation system in every department or agency, as follows:

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<sup>1</sup> Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System (SPMS)

<sup>2</sup> Executive Order No. 292 s. 1987 Instituting The Administrative Code of 1987 issued on July 25, 1987

*“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.”;*

- B. Joint Resolution of the Senate and House of Representatives No. 4, Series of 2008 authorizing the modification of the compensation and position classification system for personnel in the bureaucracy in order to motivate personnel and invigorate public service. The Resolution also provides for the establishment of a performance incentive scheme that integrates individual and organization performance;
- C. DSWD AO No. 25 series of 2011 aimed at establishing a unified and integrated RBPMS across all departments and agencies within the executive branch incorporating a common set of a performance scorecard, and at the same time, creating an accurate, accessible, and up-to-date government-wide, sectoral, and organizational performance information system;
- D. CSC MC No. 06, series of 2012<sup>3</sup> focusing on the strategic alignment between the organization’s goals and the day-to-day operations of the units, specifically with regard to each individual in the organization. It also provides a mechanism for assessing organizational performance and the collective performance of individuals therein. This is to ensure organizational effectiveness and improvement of individual employees by cascading institutional accountabilities to the various levels of organization anchored on the establishment of rational and factual bases for performance targets and measures; and
- E. CSC MC No. 03, series of 2012 or the Program to Institutionalize Meritocracy and Excellence in Human Resource Management (PRIME-HRM) integrates and enhances the Personnel Management Assessment and Assistance Program (PMAAP) and the CSC Agency Accreditation Program (CSCAAP). It is a mechanism that empowers government agencies by developing their human resource management competencies, systems, and practices toward HR excellence.
- F. DSWD AO No. 23 series of 2018 described the DSWD’s SPMS that aims to continuously foster the improvement of employee performance,

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<sup>3</sup> CSC Memorandum Circular No. 6 s. 2012 Guidelines in the Establishment and Implementation of Agency SPMS issued on March 16, 2012.

efficiency, and organizational effectiveness and productivity, and to provide an objective performance management system.

### III. POLICY STATEMENT

- A. The DSWD hereby sets the guidelines for the implementation of the enhanced SPMS in the Department, stipulating the strategies, methods, tools, and rewards for assessing the accomplishments vis-a-vis the commitments. This will be used for measuring and rewarding the exemplary performance of the various units and individuals.
- B. The DSPMS shall provide an objective and verifiable basis for evaluating/rating the performance of service delivery units and individual personnel in view of granting performance-based incentives allowable for government offices.
- C. The Department shall adopt the DSPMS framework shown in Annex A.1.
- D. The DSPMS shall follow the four-stage performance management system cycle as prescribed by the CSC (Annex B):
  - 1. Performance Planning and Commitment;
  - 2. Performance Monitoring and Coaching;
  - 3. Performance Review and Evaluation; and
  - 4. Performance Rewarding and Development Planning.
- E. The DSPMS shall create an enabling environment for the promotion of equal opportunities and non-discrimination on gender, civil status, disability, religion, ethnicity, or political affiliation in all phases of performance management and in its processes.
- F. In recognition of the importance of streamlining the operations and enhancing overall efficiency, the Department shall leverage automation technologies for the DSPMS processes. This automation will be guided by the DSWD's commitment to accuracy, transparency, and the highest ethical standards.

### IV. SCOPE OF POLICY

This DSWD AO provides for the implementation of an enhanced DSPMS covering the following:

## A. All of Agency

This refers to the whole of the organization as represented by the Secretary and collectively by its Executive Committee (EXECOM) and Management Committee (MANCOM).

The Attached and Supervised Agencies (AAs and SAs) under the technical supervision of the DSWD are not covered by these guidelines. The SAs and AAs may formulate their own SPMS guidelines in line with the CSC MC. 6, series of 2012 and the DSPMS.

## B. Central Office - Offices, Bureaus and Services (CO-OBSs) and Field Offices (FOs)

These are the Department's service delivery units represented by the appointed or designated Head/Official.

## C. Individual Personnel

1. **Officials** - Incumbents of third-level positions or their equivalent provided they are designated to perform in this capacity regardless of their current position.
2. **Rank and File Employees** - Incumbents of positions with salary grade 24 and below.

## V. DEFINITION OF TERMS

For the purpose of this Order, the following terms shall be defined and understood as follows:

1. **Competency** - refers to a set of observable, measurable, and vital skills, knowledge, and attitudes that are translations of capabilities deemed essential for organizational success.
2. **Core Function** - refers to the programs, projects, and activities rooted in an office's (OBSUs and FOs) mandate and key result areas.
3. **Developmental Intervention** - refers to planned activities and actions that facilitate the improvement of the capability of individuals and their performance.
4. **Division Performance Contract and Review Form (DPCRf)** - refers to the form that shall reflect the Division's commitment and performance and its actual accomplishments and rating, which

- shall be accomplished by the Division Chief or its equivalent within the specified timeline
5. **Fixed Targets** - refers to the targets or outputs which may no longer be exceeded
  6. **Head of Office (HOBS)** - refers to the highest-ranking official of a DSWD Office/Field Office, Bureau, Service, Cluster, and the like. This also refers to the approving authority enumerated in Annex C who determines the final performance rating of individual employees based on proof of performance
  7. **Individual Development Plan (IDP)** - refers to a form to be accomplished by the employee and shall be discussed with the immediate superior which serves as a tool intended to assist in the employee's career and personal development. It is also used as a reference for identifying appropriate training and developmental interventions.
  8. **Individual Performance Commitment and Review Form (IPCRF)** - refers to the form that shall reflect the individual commitment and performance, which shall be accomplished by individual employees within the specified timeline
  9. **Key Result** - refers to the accomplishment, output/outcome, or set of outputs/outcomes being measured and described in terms of quantity, quality, and time
  10. **Key Result Area (KRA)** - refers to the broad category of general outputs or outcomes. It is the mandate or function of the office and/or individual employees. The KRA is the reason why an office and/or job exist. It is an area where the office and/or individual employees are expected to focus on. The KRA should not include any functions that are not related to the office.
  11. **Mission-critical outputs** - refers to the outputs which if not delivered or were disrupted would cause an entire operation to grind to a halt. These are the outputs that are indispensable to continuing operations.
  12. **Monitoring** – refers to the regular gathering and analysis of data that reflects the status of the performance of the Office/Personnel; involves regular checking/inspection of an individual's/office's accomplishment vis-a-vis targeted/committed programs, activities, and projects.
  13. **Non-fixed targets** - refer to the targets that can be exceeded as planned.
  14. **Office Performance Commitment and Review Form (OPCRF)** - refers to the form that shall reflect the office commitments and performance, which shall be accomplished by the head of the office

15. **Performance-Based Bonus (PBB)**- refers to a top-up bonus given to government personnel in accordance with their contributions to the accomplishment of the organization's overall targets and commitments
16. **Performance Indicator (PI)/ Performance Measure**- refers to the exact quantification of objectives, which shall serve as an assessment tool that gauges whether a performance is positive or negative.
17. **Performance Management System (PMS)** - refers to a system that provides a mechanism to assess organizational performance and the collective performance of individuals therein. It seeks to ensure organizational effectiveness and improvement of individual employees by cascading institutional accountabilities to the various levels of organization anchored on the establishment of the rational and factual basis for performance targets and measures
18. **PMS Focal Person**- refers to the staff designated by the HOBS to support the implementation of the DSPMS in coordination with the PMT Secretariat
19. **Probationary Period** - refers to the period of actual service following the issuance of a permanent appointment wherein the appointee undergoes a thorough character investigation and assessment of capability to perform the duties of the position enumerated in the Position Description Form (PDF)
20. **Ratee** - refers to the employee/official whose performance is to be evaluated or assessed
21. **Rater** - refers to the immediate supervisor of the individual employee and the one that gives the preliminary evaluation for the approval of the head of the office at the end of the rating period based on the performance measures.
22. **Rating Guide** - refers to the specific success indicators for different levels of performance – demonstrating progression from Poor to Outstanding.
23. **Standard FO Indicators and Rating Guide** - refers to a document indicating a set of performance indicators that mirrors the performance indicators of the CO-OBS, albeit in a regional context, issued by the PMT with an accompanying rating guide, and is reflected in all Field Office's performance contract and review forms.
24. **Strategic Functions** - refers to one-time big-time projects or activities. These are temporary, time-bound endeavors; one of the classifications of success indicators.
25. **Success Indicators** - refers to the performance level yardsticks consisting of performance measures and performance targets.

These shall serve as bases in the office's and individual employees' preparation of their performance contract and rating form.

26. **Support Functions** - refers to the functions that provide necessary resources to enable the Department/office to effectively perform its mandate. These functions support/indirectly contribute to the attainment of the main/core activities. These include, but not limited to, human resources, training and development, information technology, auditing, marketing, legal, accounting, and communications.
27. **Weight allocation** – refers to the distributed weights allotted in each Key Results Area and/or Performance Indicator (PI) reflective of the strategic value of results or based on its degree of importance.

## VI. PERFORMANCE MANAGEMENT CYCLE/PROCESS

The DSPMS follows the performance management cycle which has four phases: (a) Performance Planning and Commitment; (b) Performance Monitoring and Coaching; (c) Performance Review and Evaluation; and (d) Performance Rewarding and Development Planning. All actors engaged in all phases of the performance management cycle shall be acquainted with equal opportunity principles for these to govern the processes of the DSPMS.

Each phase of the performance management cycle requires protocols and streamlined procedures. These shall be iterated in the DSPMS Guidebook. The guidebook is a published document that shall explain the step-by-step processes which will guide all concerned offices and individuals in the implementation of the DSPMS. The guidebook shall be developed by the PMT Secretariat and must be approved by the PMT. Revisions in the guidebook shall be made as required.

### A. Phase I: Performance Planning and Commitment

The performance planning and commitment shall be the start of the performance management cycle. The DSWD planning process is facilitated through a consultative approach; necessitating the participation of all DSWD Offices to ensure the interoperability of existing DSWD systems for a purposive and realistic setting of commitments and targets. This planning process begins with a review of the Department's internal and external context as well as ensuring that the DSWD plans are anchored on the pertinent international and national commitments of the Department.

The Policy Development and Planning Bureau (PDPB), as the planning arm of the DSWD, shall lead the department and office level performance planning and commitment phase. The Human Resource Management and Development Service (HRMDS) shall set up mechanisms to assist the HOBS in ensuring the proper cascading of office-level commitments to its divisions and individual staff. Both the PDPB and the HRMDS shall lead the development of performance standards for office, division, and individual level. These performance standards shall contain the prescribed set of indicators, with its corresponding rating guide, that shall be committed by the office, division, or individual employee. The refinement of the performance standards shall be done on an annual basis to allow minor refinements on the indicators and every three years for the substantive changes on the indicators. The PMT shall deliberate and approve the performance standards and its refinements.

Three levels of planning then follow to ensure effective cascading of performance commitments and targets:

### 1. Department Level<sup>4</sup>

For every planning period, ideally spanning six years, the DSWD develops its Department Road Map/Strategic Plan which serves as a guidepost to align the programs, projects, and services of all DSWD OBSs and FOs.

As such, the DSWD Road Map or Strategic Plan shall serve as the Department's medium-term performance contract while its Annual Plan, which contains outcome and output level performance targets and critical activities to operationalize strategic initiatives for a specific year, shall serve as the Department's annual performance contract.

All personnel from every level of the organization shall contribute to the identified outcomes, outputs, and strategic initiatives laid out in the Strategic Plan.

### 2. Office Level

Anchoring on the DSWD's existing strategy laid out in its roadmap/strategic plan, the DSWD OBSs and FOs determine

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<sup>4</sup> Separate guidelines shall be issued for the planning, monitoring and evaluation system of the DSWD Strategic Plan that shall capture the preparation of all department-level plans and reports.



their success indicators related to the mandate and core functions of their respective Offices. Success indicators are performance level yardsticks consisting of measures and targets.

The Agency mandate, road map, program thrusts, and major final outputs shall be the bases of the targets of the Office. Aside from the office commitments explicitly identified in the Strategic Plan, the major final outputs/ program expenditure classification (PREXC) indicators that contribute to the attainment of organizational mission/vision, which form part of the core functions of the office, shall be indicated as performance targets.

The PDPB shall set forth the OPCRF indicators and national targets based on the Strategic and Annual Plans, in consultation with the concerned Central Office-OBSs that directly manage the program/project/activity.

Only those that contribute to or support the outcomes that the Department aims to achieve shall be included in the OPCRF i.e., measures that are relevant to the Department's core functions and strategic priorities. The performance measures must be continuously refined and reviewed. The PMT Chair shall present the proposed changes to the PMT for deliberation and approval.

The HOBS shall cause the determination of their "office target setting period" in accordance with the DSPMS calendar/timeline for planning and commitment setting, a period within which the office and employees' targets are set and discussed by the raters and the ratees, reviewed and concurred by the HOBS and submitted to the PMT.

The targets shall take into account any combination of or all of the following:

- Historical data - collected data regarding past performance.
- Benchmarking - this involves identifying and comparing the "best" office or unit within the department with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law.
- Client demand- this involves a bottom-up approach where the office sets targets based on the needs of its clients. The office may consult with stakeholders and review the feedback on its services.

- Targets indicated in the General Appropriations Act (GAA)
  - The indicators and targets must be reflected as one of the commitments of the responsible offices.
- Top Management instruction - the Secretary may set targets and give special assignments.
- Future trends - targets may be based on the results of the comparative analysis of the actual performance of the office with its potential performance.
- Agency's international, national and sectoral commitments
  - targets may be based on the commitments and accountabilities at all scales.

Targets that are rooted in an office's mandate and functions should be classified under the Core Functions. These are routine tasks or deliverables that are recurring on a regular basis.

On the other hand, targets pertaining to one-time big-time endeavors should be classified under Strategic Functions. These may include but are not limited to, the following:

- Special instructions of the Secretary that is specific to a certain office/ unit, and is not already a part of the regular functions and deliverables of the office/ unit
- Initiatives or project of the office that entails a specific timeline to be delivered, and is not recurring on a regular basis (e.g. development of a database/ system)

Lastly, Support Functions entails targets that necessitate technical or administrative, and substantive support to the operations of the department/ office. These may also include the provision of overall administrative management support to the entire office operation. These targets or activities contribute to or enhance the delivery of services but which by themselves do not produce major final outputs.

There will be a separate PMT issuance for the standardized weight allocation per classification of success indicators at the office, division, and individual levels. All offices shall use the OPCRf as indicated in Annex D.

#### **a) Central Office - OBSs**

Following the thrust of the Department toward a harmonized results-based planning and monitoring

system, the performance contracts of all DSWD Offices shall be aligned with the DSWD's existing plans and strategies.

Each CO-OBS shall reflect their mandated KRA's and determine corresponding performance indicators and targets in their performance contract, particularly under the Core Functions. They shall also reflect their targets as stated in the Department's existing roadmap or strategic plan.

For the offices of the Undersecretaries and Assistant Secretaries, a standard set of indicators, targets, and accompanying rating guide shall be the reference in filling up their OPCRFS. These shall be the minimum set of indicators to be committed by the Undersecretaries and Assistant Secretaries. These indicators shall be reviewed regularly, and enhanced, as the need arises.

#### **b) Field Offices**

Considered as the direct implementer of the DSWD programs and services, the OPCRFS of the FOs will mirror the overall DSWD Performance Contract, i.e., the DSWD Strategic Plan, as they perform all functions of the Department only at a smaller scale. However, to preserve the conciseness of the FOs' OPCRFS, performance indicators of some mandated functions particularly for support and administrative services must be delegated to the divisions.

Further, given that the DSWD Field Offices perform a similar set of functions albeit, in different regional contexts, the performance of the FOs will be measured using a set of performance indicators referred to as the Standard FO indicators.

An accompanying document of the Standard FO Indicators is the Rating Guide which operationalizes the indicators to be committed for the plan year.

The Rating Guide (Annex G) contains all targets and dimensions of performance in terms of efficiency, quality, and timeliness for each performance indicator. Hence, this

document shall serve as the basis during the office performance contracting and performance review and evaluation (PRE) sessions.

Moreover, the PMT shall deliberate and approve the performance indicators and dimensions indicated in the Rating Guide, as recommended by the PDPB. However, the regional targets shall be determined by all the concerned CO-OBSs, in consultation and agreement with their regional counterparts. These targets and their rating guide shall be presented to the PMT for deliberation and approval.

The CO-OBS that directly monitor the targets will initiate any changes in the performance indicators and targets. The changes should be communicated to the PDPB by the HOBS, and with approval from their respective Cluster Head, submitted to the PMT Chair. The PMT Chair shall present the proposed changes to the PMT for deliberation and approval.

### **3. Divisions**

For a more holistic view of the Office's mandate and KRAs, and to ensure that all deliverables are accounted for including those for support and administrative concerns, the Offices shall delegate commitments to its Divisions. These Divisions shall be held primarily accountable for producing designated target outputs for each program, project, and activity. These targets, performance measures, budgets, and accountability centers are summarized in the DPCRFs. Attached as Annex E is the DPCRF template.

### **4. Individual Level**

From the approved OPCRf and DPCRf, cascading of performance targets to DSWD personnel shall be facilitated by preparing Individual Performance Contracts Forms (IPCRFs) of rank and file employees. Attached as Annex F is the IPCRF.

The IPCRF highlights the personnel's mission-critical outputs to be delivered according to their roles and functions. All newly hired, promoted, and transferred personnel must submit an IPCRF within five (5) days from the assumption of duty.

In crafting the IPCRF and performance targeting, the supervisor and subordinate shall be mindful in their respective roles for an enabling environment that would ensure equal opportunity principles in responsibly meeting performance targets flourish.

Personnel under probationary period shall set performance targets and work output standards within five (5) days upon assumption to duty as agreed and duly signed by the probationer, the immediate supervisor, and the Head of Office.

Together with the crafting of the IPCRF is the accomplishment and crafting of the individual/employee's Rating Guide that determines the dimensions (efficiency, quality, and timeliness) on which the performance targets or accomplishments are to be rated demonstrating progression from Poor to Outstanding.

At both the Office and individual level, performance indicators shall include one, a combination of, or all of the following general categories, whichever is applicable:

**Table 1. General categories for performance indicators**

Category	Description
Efficiency	<p>The extent to which time or resources are used for the intended task or purpose. Measures whether targets are accomplished with a minimum amount or quality of waste expenses or unnecessary effort.</p> <p>Elements: quantity of effective/desired outputs, requests acted upon over a total number of requests, standard response time, optimum use of resources, personal initiative</p>
Quality	<p>The extent to which actual performance compares with targeted performance.</p> <p>The degree to which objectives are achieved and the extent to which targeted problems are solved.</p> <p>In management, effectiveness relates to the degree of excellence or getting <i>the right things done</i>.</p> <p>Elements: acceptability, meeting standards, client satisfaction, accuracy, completeness, comprehensiveness, creativity, innovation</p>
Timeliness	<p>Measures whether the deliverable was done on time based on the requirements of the law and/or clients/stakeholders.</p>

	<p>Time-related performance indicators evaluated such things as project completion deadlines, time management skills and other time-sensitive expectations.</p> <p>Timely performance involves meeting the deadlines as set in the work plan.</p> <p>Elements: completeness of tasks, meeting deadlines</p>
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Indicators for each dimension should be SMART: specific, measurable, attainable, realistic, and time-bound. Further, the agency should have an individual target-setting process that sets out agreements on both individual performance and competency proficiency targets, thus, individual competency proficiency targets should also be reflected in the IPCRF. Additionally, as the agency implements processes for establishing, calibrating and reviewing performance standards for all common positions across different units, a Standardized Indicator has to be established, which entails the importance of having a "minimum" performance targets and standards for common positions.

**Table 2. Example of a success indicator translated into an Individual Rating Guide Form**

Performance Indicator	Numerical Rating	Efficiency	Quality	Timeline ss (based EODB)	MoVs
100% of memoranda/ correspondences drafted and approved by the Head of Office within the set timeline	5	96-100% accomplished	accepted and approved by the Undersecretary within 1st submission	2 days before the deadline or earlier	Approved memoranda / correspondences
	4	88-95.99% accomplished	accepted and approved by the Undersecretary within 2nd submission	1 day before the deadline	
	3	75-87.99% accomplished	accepted and approved by the Undersecretary within 3rd submission	On the deadline	
	2	51-74.99% accomplished	accepted and approved by the Undersecretary	1 day after the deadline	

			within 4th submission		
	1	50.99% and below accomplished	accepted and approved by the Undersecretary within 5th submission	2 days after the deadline or later	

**B. Phase II: Performance Monitoring and Coaching**

During the performance monitoring and coaching phase, the performance of the Offices and every individual shall be regularly monitored. Supervisors and coaches play a critical role at this stage. Their focus is on the critical function of managers and supervisors as coaches and mentors in order to provide an enabling environment/intervention to improve team performance and manage and develop individual potentials.

Monitoring of performance and accomplishments can be facilitated through regular meetings (EXECOM, MANCOM, General Staff Assembly), one-on-one discussions, and review of pertinent documents such as reports, among others. This shall be documented using the Performance Monitoring and Coaching Journal (Annexes H-I). The Offices shall also prepare Quarterly Accomplishment Reports to track and ensure timely completion and quality execution of deliverables. Accomplishments of employees related to the fulfillment of IPCRF commitments shall also be submitted on a quarterly basis. Attached as Annex J is the template for the Individual Accomplishment Report.

Further, in this phase, performance checkpoints are conducted after the first semester to look at the extent of accomplishment of the targets that were committed in their IPCRFs. This involves carrying out activities (e.g. catch-up plans, interventions) that will ensure successful delivery of service or revising/adjusting the original plan/performance target.

The OBS with their direct approving authority shall carry out a process of consultation to monitor/track the extent by which plans are being met. Similarly, personnel will set up a meeting with a direct supervisor with a similar intent. Challenges that adversely impact or are delaying the accomplishment of the target shall be managed accordingly.

Coaching and mentoring shall be exercised at this level in order to discuss and plan for interventions or adjustments in targets in order to

meet the set goals as well as to provide an enabling environment to manage/develop individual performance for the improvement of team/office performance. The use of gender-fair language shall also be used in all performance management tools and forms. Aside from performance monitoring, the checkpoints can also be a venue for sharing good practices and knowledge among OBS and FOs.

These performance checkpoints are conducted at Office, division, and individual levels (Annex K-M).

### **C. Phase III: Performance Review and Evaluation**

In this stage, accomplishments are assessed based on the attainment of the commitments identified during the planning process (Phase 1). Employees shall likewise be assessed in their competencies vis-a-vis the competency requirements of the job through the Competency Assessment Tool (CAT).

The performance evaluation of an employee on probationary status shall be done at least twice during the probationary period and within every three (3) months or six (6) months, depending on the duration of the probationary period, as required by the position. This shall be conducted within ten (10) days before the end of every rating period during the probationary period.

Similar to performance planning and commitment, there are three levels of performance review and evaluation (PRE):

#### **1. Department Level**

The DSWD Road Map/Strategic Plan shall be updated and enhanced based on the results of a mid-term review while assessment of annual targets shall be facilitated through the preparation of Semestral Assessment Reports.

#### **2. Office Level**

Performance review and evaluation at the Office level shall be conducted semi-annually through a performance assessment session that aims to determine the performance ratings of the DSWD Offices by assessing the Offices' performance and accomplishments vis-a-vis the physical and financial targets committed during the year.



The results of the Office performance assessment shall serve as the basis for assessing individual employees. As such, the average of all individual performance ratings shall not go higher than the collective performance assessment of the Office.

Any issue/appeal/ protest on the Office assessment shall be articulated by the concerned Head of Office and decided upon during the performance assessment session. A 24-hour window, succeeding the date of the performance assessment session, will be given to the OBS to submit the lacking and/or additional means of verification (MOVs) to resolve arising dispute regarding the stated accomplishment in the OPCRf. A provisional rating shall be given to those accomplishments that have pending MOVs to be complied. The end of the window hour shall mark the conclusion of the performance assessment session of the OBS. Hence, the final rating shall no longer be appealable/contestable once the session has concluded.

#### **a) Central Office - OBSs**

For Central Office – OBSs, the performance assessment sessions shall also be attended by the respective Cluster Head.

The CO-OBS, through the Director or Officer-in-Charge, shall present the accomplishments and proposed self-rating for each performance indicator. The discussion of initial ratings, resulting from the initial review and validation, shall be led by the PDPB. The resulting OPCRf from the session, agreed upon by the Cluster Head and Head of Office, shall contain the final Office performance rating.

For Undersecretaries and Assistant Secretaries, their OPCRf indicating their targets and accomplishments for the rating period shall be submitted to the PDPB for initial review and validation. Once validated, the OPCRf shall be routed back to the office concerned for the signature of the Head and the approving authority.

Final OPCRf performance ratings shall be consolidated to prepare the Summary of Office Performance Ratings (Annex N) of each cluster for onward submission to the

PDPB within the prescribed period for review and validation.

## **b) Field Offices**

For Field Offices, the performance assessment sessions shall be led by the Undersecretary that supervises the field operations or the Undersecretary assigned by the PMT, with the assistance of the PMT Secretariat.

As pre-work, the FOs shall submit proposed self-ratings for each performance indicator following the performance standards stipulated in the approved Rating Guide. Likewise, the PDPB shall review the rating provided by the concerned CO-OBS based on its compliance with the Rating Guide.

These self-ratings together with the proposed ratings provided by the CO-OBSs shall be consolidated into comparative rating matrices which shall serve as the basis during the assessment session. Attached as Annex O is the Template for the Comparative Rating Matrix. The PDPB shall provide the initial OPCRf, resulting from the validation and evaluation, to the FOs, for reference during the actual deliberations.

Only ratings for performance indicators not agreed upon by the FO and the CO-OBSs (as indicated in the comparative rating matrix) and/or ratings that are not aligned with the prescribed Rating Guide shall be deliberated upon. During the actual performance assessment session, the FO, through the Regional Director or the Officer-in-Charge, shall present the accomplishments and proposed ratings for each performance indicator. With the assistance of the PMT Secretariat, these ratings shall be assessed by the Undersecretary/ies assigned by the PMT, who shall provide the final rating for each indicator. The resulting OPCRf from the session, agreed upon by the evaluator/s and HOBS, shall contain the final Office performance rating. The PMT shall have the authority to determine the appropriate format for the session, either through panel assessment or led by a specifically assigned Undersecretary designated by the PMT.

### 3. Divisions

At the Division level, the Division Chief shall prepare their respective DPCRf within the prescribed performance assessment timeline. The Head of the Office shall conduct a performance assessment session for each Division for the purpose of discussing the Division's accomplishments and determining the final Division performance ratings.

Final DPCRf ratings shall be consolidated to prepare the Office's Summary of Division Performance Ratings (Annex P) for onward submission to the HRMDS within the prescribed period for review and validation.

### 4. Individual Level

The immediate supervisor or Division Chief shall assess individual employee performance based on the commitments made at the beginning of the rating period. Initial self rating is necessary prior to the rater-ratee discussion. The performance rating shall be based on records of accomplishments such that rating for planned and/or intervening tasks shall always be supported by reports, documentation or any outputs as proof of actual performance. In the absence of said bases or proofs, a particular task shall not be rated and shall be disregarded. It is also expected that the immediate supervisor keeps documents and evidence on the kind of outputs of individual employees which shall be used as bases for employee assessment.

Employee's assessment shall be discussed by the supervisor or Division Chief with the concerned ratee prior to the endorsement of the IPCRF to the Head of Office who shall determine the final performance ratings of the employees based on proof of performance. The Head of Office may adopt appropriate mechanisms to assist him/her in ensuring fairness and transparency in gauging the performance levels of individuals, such as but not limited to peer ranking and client feedback.

Performance ratings are required for those who have rendered at least three (3) months of service in a particular office. In case of multiple reassignments due to promotion or transfer, staff's IPCRF shall be concurred by the different immediate supervisors where the staff was assigned during the rating period. For

personnel with supervisors who have retired, were reassigned, or for some reason could not rate the staff's performance, the staff shall be rated by the designated Officer-in-Charge based on the means of verification.

Officials and employees who shall be on official travel, approved leave of absence, maternity leave, training or scholarship programs and who have already met the required minimum of 90 days or three (3) months within the rating period shall submit the performance rating report before they leave the office for their official travel. For employees vying for promotion, the performance rating in the last rating period prior to the date of assessment or screening, which should be at least Very Satisfactory, shall be required.

Final IPCRF ratings shall be consolidated by the respective PMS Focal Person who will also prepare the Summary of Individual Performance Ratings (Annex Q) for onward submission to the HRMDS within the prescribed period for review and validation.

The Summary of Individual Performance Ratings shall also include those retired, resigned, and transferred DSWD personnel who have rendered at least three (3) months of service within the rating period in a particular office.

The form shall also include the DSWD personnel who are in authorized attendance in a scholarship program who will fail to render actual performance duties while attending the program but have rendered three (3) months of actual service within the semester.

At both the Office and individual level, a five-point rating scale—5 being the highest and 1 the lowest—shall be used to determine the performance ratings. The final performance assessment ratings shall correspond to the adjectival description of Outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor:

**Table 3: Five-point rating scale to be used for performance ratings**

Rating		Description
Numerical	Adjectival	
5.00000	Outstanding	Performance represents an extraordinary level of achievement

		and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity, and initiative. Employees at this performance level should have demonstrated exceptional job mastery in all major areas of responsibility. Employee achievement and contributions to the organization are marked excellence.
4.00000-4.99999	Very Satisfactory	Performance exceeded expectations. All goals, objectives, and targets were achieved above the established standards.
3.00000-3.99999	Satisfactory	Performance met expectations in terms of quality of work, efficiency, and timeliness. The most critical annual goals were met.
2.00000-2.99999	Unsatisfactory	Performance failed to meet expectations, and/or one or more of the most critical goals were met.
1.00000-1.99999	Poor	Performance was consistently below expectations, and/or reasonable progress toward critical goals was not made. Significant improvement is needed in one or more important areas.

A sample rating guide in terms of efficiency, quality and timeliness is indicated in Annex S.

The results of the assessment of Office and individual performance shall be impartial owing to the scientific and verifiable basis for target setting and evaluation.

If the employee has rendered at least 3 months of service or more in a semester, but failed to comply with his or her IPCRF for the reason that he or she died before the end of the semester or before the assessment period, the office concerned may accomplish or produce, on behalf of the employee, the IPCRF covering the specific period of the employee's

actual contribution to the Office's productivity. The said form must be signed by the immediate supervisor or the head of the Unit/Division, to certify the accomplishments and rating of the employee.

Moreover, if the employee has rendered less than three (3) months in service during the rating period, Certificate of Performance Assessment (CPA) must be submitted to the HRMDS, see template in Annex T.

### **Competency Assessment**

As part of the PRE, officials, and employees shall likewise be assessed based on the behavioral components through the Competency Assessment Tool (CAT). The CAT gauges the individual's performance based on the DSWD core, and leadership and management competencies using the identified behavioral indicators. This will be administered using a 360-degree feedback method capturing a Ratee's performance as assessed by his/her immediate superior, colleague/s/peers, subordinates, and himself/herself (self-assessment).

This aims to identify an individual's strengths and accomplishments as well as gaps and challenges in his or her position. The HRMDS and its counterpart at the Field Offices shall administer the CAT and the results of the assessment shall then be used for the identification of appropriate capability building and coaching support, and in addition, the results shall also be used as a reference for career development and/or succession planning purposes.

The results of CAT shall be treated independently, and will not affect the performance rating of the employee as these measures the behavioral component while the IPCRF captures the results or accomplishments based on the contracted goals for the rating period.

### **D. Phase IV: Performance Rewarding and Development Planning**

After the assessment of the achievement of an employee against the targets, both Supervisor and the Employee shall sit down and discuss the employee's strengths and areas for improvement. Both then identify training programs or other development interventions and possibilities for future career development that can improve the employee's competencies and performance in coordination with the HRMDS. Supervisor should be mindful of the employee's individual circumstances, enabling him/her to contribute more fully in achieving and accounting for office/agency performance results.

Rewards occur at the office and individual levels. Meritocracy is the general principle in providing incentives and rewards. This means that the reward or incentives to be given to personnel are performance-based. The results of the performance evaluation shall be used to provide reinforcement or to sustain good performance.

In addition, development planning shall be done to address performance and competency gaps, to plan about development within the current job and possibilities for future career development. Action plans can be made to identify development plans and appropriate interventions. All employees should have an IDP (Annex R) which must be used in the discussion during coaching activities with the immediate supervisor relative to the employee's career and personal development. The employee shall provide his short and long-term career goals, as well as the target improvement on the current job performance. Further, it shall be used to address gaps and improve the performance of employees with Unsatisfactory or Poor performance ratings.

Updating of IDP whether the commitments/planned targets indicated therein have been already met or not shall be done during the performance monitoring phase or in the crafting of the Individual Checkpoint form. The changes/adjustments in the IDP shall be based on the feedback on the progress of the individual and changes therein should be supported and discussed by the immediate supervisor and Head of Office, Bureaus, Services (HOBS). The HRMDS shall lead the refinements in the IDP form to enable the capturing of relevant information and interventions towards individual development.

The results of the performance evaluation/assessment shall serve as inputs to the following:

### **1. Personnel Development Actions**

An employee who obtained Unsatisfactory rating for one rating period or exhibited poor performance within the first three (3) months of the rating period shall be provided appropriate developmental intervention by the Head of Office and supervisor (Division/Unit Head), in coordination with the HRM Office/Personnel Office, to address competency-related performance gaps.

Supervisor/HOBS shall coach, mentor, counsel, and provide developmental intervention/s to employees with close monitoring.

Failure of HOBS to provide developmental intervention to concerned employees may also be a ground for an administrative offense.

In the same manner, the employee who refuses to follow the intervention for no justifiable reason shall be liable for the consequences.

If after advice and provision of developmental intervention, the employee still obtains Poor rating for the remaining months of the rating period or Unsatisfactory rating in the immediately succeeding rating period, he/she may be dropped from the rolls. A written notice/advice from the head of office at least 3 months before the end of the rating period is required.

Employees may appeal decisions on their ratings subject to existing rules and regulations.

## **2. Step Increment**

### **a) Due to Length of Service**

Consistent with the Rules and Regulations on the Grant of Step Increment Due to Meritorious Performance and Step Increment Due to Length of Service or DBM and CSC Joint Circular No. 01-2012, qualified employees shall be entitled to 1 step increment for every three (3) years of continuous satisfactory service in the present position.

### **b) Due to Meritorious Performance**

The step increment due to meritorious performance shall be given to top-ranking 5% of officials and qualified employees. If qualified, step increment shall depend on the employee's performance rating during the two (2) rating periods within a calendar year:

- 2 step increments if two (2) ratings of Outstanding
- 1 step increment if one (1) rating of Outstanding and one (1) rating of Very Satisfactory, or two (2) ratings of Very Satisfactory



**3. Mid-Year Bonus (MYB)**

The MYB shall be given to the personnel who obtained at least a satisfactory performance rating in the immediately preceding rating period, or the applicable performance appraisal period and met the conditions stipulated under the Department of Budget and Management (DBM) Budget Circular No. 2017-2 or the Rules and Regulations on the Grant of the Mid-Year Bonus (MYB) for FY 2017 and Years Thereafter.

**4. Public service awards and recognition**

Officials and qualified employees with exemplary performance shall be nominated, recognized, and/or rewarded according to the CSC-approved PRAISE Guidelines of the DSWD as contained in DSWD Memorandum Circular No. 03, series 2003 entitled Program on Awards and Incentives for Service Excellence, and other service awards and recognition given to public servants such as, but not limited to, Honor and Awards Program of the CSC, and awards for loyalty or service to the Department.

**5. Performance-Based Incentive System**

Performance-Based Incentive System (PBIS) consisting of Productivity Enhancement Incentive (PEI) and the Performance-Based Bonus (PBB) may be granted subject to the provisions of Executive Order No. 80 s. 2012 and its implementing rules.

**6. Educational support, training opportunities, and other related travels**

Officials and qualified employees with exemplary performance shall be nominated to educational support programs, training opportunities, and other related travels.

**VII. TIMELINES**

The DSWD SPMS cycle shall follow the timeline listed in the table below.

Table 5: DSPMS Timelines

Activity	Timeline
Performance Planning and Commitment	

Development of the Annual Plan	Every 20 <sup>th</sup> August of the year prior to the plan year
Crafting of the Office and Division Performance Contracts	Every November of the current year prior to the plan year: <ul style="list-style-type: none"> <li>• Office: 25<sup>th</sup> November</li> <li>• Division: 30<sup>th</sup> November</li> </ul>
Crafting of the Individual Performance Contracts	Every 15 <sup>th</sup> December of the current year prior to the plan year:
<b>Performance Monitoring and Coaching</b>	
Preparation of Individual Quarterly Accomplishment Reports	Every 5 <sup>th</sup> of the 1 <sup>st</sup> month of the succeeding quarter: <ul style="list-style-type: none"> <li>• Q1: April of the plan year</li> <li>• Q2: July of the plan year</li> <li>• Q3: October of the plan year</li> <li>• Q4: January of the year after the plan year</li> </ul>
Preparation of Division Quarterly Accomplishment Reports	Every 10 <sup>th</sup> of the 1 <sup>st</sup> month of the succeeding quarter: <ul style="list-style-type: none"> <li>• Q1: April of the plan year</li> <li>• Q2: July of the plan year</li> <li>• Q3: October of the plan year</li> <li>• Q4: January of the year after the plan year</li> </ul>
Preparation of Office Quarterly Accomplishment Reports	Every 20 <sup>th</sup> of the 1 <sup>st</sup> month of the succeeding quarter: <ul style="list-style-type: none"> <li>• Q1: April of the plan year</li> <li>• Q2: July of the plan year</li> <li>• Q3: October of the plan year</li> <li>• Q4: January of the year after the plan year</li> </ul>
Conduct of Performance Checkpoint	Every 1st-3rd week of July of the plan year: <ul style="list-style-type: none"> <li>• Office: 1st-2nd week of July</li> <li>• Division: 15th July</li> <li>• Individual: 20th July</li> </ul>
<b>Performance Review and Evaluation</b>	
Conduct of Performance Assessment Sessions for Offices, Division, and Individuals <sup>5</sup>	<ul style="list-style-type: none"> <li>• 1<sup>st</sup> Semester: Every 1<sup>st</sup>-3<sup>rd</sup> week of July of the plan year</li> </ul>

<sup>5</sup> Final ratings of individual employees are subject to the validation of the HRMDS based on the results of office final ratings

	<ul style="list-style-type: none"> <li>● 2<sup>nd</sup> Semester: Every 1<sup>st</sup>-3<sup>rd</sup> week of February of the year after the plan year</li> </ul>
Conduct of Competency Assessment	<ul style="list-style-type: none"> <li>● 1<sup>st</sup> Semester: Every 1<sup>st</sup>-3<sup>rd</sup> week of July of the plan year</li> <li>● 2<sup>nd</sup> Semester: Every 1<sup>st</sup>-3<sup>rd</sup> week of February of the year after the plan year</li> </ul>
<b>Performance Rewards and Development Planning</b>	
Crafting of the Individual Development Plan	Every 10 <sup>th</sup> December of the year prior to the plan year

The PMT may adjust the foregoing timelines in the event of unforeseen circumstances or for reasons beyond the control of the DSWD.

## VIII. INSTITUTIONAL ARRANGEMENTS

### A. SPMS Champion - DSWD Secretary

Functions and Responsibilities:

- Directs/oversees the formulation, establishment and implementation of the SPMS;
- Sets agency performance goals/objectives and performance measures;
- Determine agency target setting period;
- Assesses the performance of offices, and
- Approves the summary of office performance commitment and rating.

### B. DSWD Performance Management Team (PMT)

The composition of the PMT shall be provided in a Special Order issued by the Secretary and shall perform the functions provided hereunder. The PMT is authorized to issue subsequent and supplementary guidelines to ensure the effective implementation of the DSPMS.

The PMT shall include as permanent/regular members those officials occupying plantilla positions and/or performing supervisory functions over HOBS within the Department. As far as practicable, the membership of the PMT shall consider equal representation of women and men.

### Functions and Responsibilities:

Oversee tasks related to the effective implementation of the DSPMS, specifically:

- Take the lead in defining and reviewing the agency's long-term goals, medium-term plans and other performance frameworks and systems used that will define organizational outcomes, performance indicators and strategic initiatives;
- Ensure the implementation of a results-based DSWD SPMS that is anchored on the agency's mandate and Strategic Plan;
- Ensure translation, alignment and cascading of organizational commitments to the different levels in the agency;
- Develop an internal performance-based incentive scheme which will reward exemplary employees/officials and well-performing DSWD units both at the CO and FO level;
- Propose a synchronized calendar for DSPMS activities, in consultation with various OBSUs and FOs; and
- Act as a body to discuss and resolve performance management-related issues as well as issues on operational policies, guides, protocols to ensure that the DSWD SPMS meets its objectives.

### C. Regional Performance Management Team (RPMT)

Each DSWD Field Office shall prepare a separate issuance, a Regional Special Order, on the creation of the RPMT. The membership of the PMT shall be composed of officials with plantilla position. As far as practicable, the membership of the RPMT shall consider equal representation of women and men.

Preferably, the RPMT shall be composed of the following:

Chairperson	Assistant Regional Director for Administration
Vice-Chairperson	Assistant Regional Director for Operations
Members	Division Chief/Highest Officer of Human Resource Division/Unit
	Division Chief/Highest Officer of Financial Management Division/Unit
	Representative, Employees Union
Head Secretariat	Division Chief/ Highest Officer of Policy and Plans Division or Planning Unit

### Functions and Responsibilities:

- Ensure that office performance targets and measures, as well as the budget are aligned with those of the agency and that work distribution of Office is rationalized;
- Conduct consultation meetings to discuss performance commitments and targets;
- Act as appeals body and arbiter for performance management issues;
- Identifies potential top performers and provide inputs to PRAISE Committee for the grant of awards and incentives;
- Bring to the attention of the PMT at the Central Office any observation or concern that requires clarification or may have an impact on existing PMS policies, protocols and standards and;
- Adopt its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberations, and delegation of authority to representatives in case of absence of its members.

#### **D. Secretariat**

The Policy Development and Planning Bureau (PDPB) and Human Resource Management and Development Service (HRMDS) shall constitute the Central Office (CO) PMT Secretariat.

All Field Offices (FOs) shall constitute their own Secretariat to be composed of the Planning Division/Section/Unit and Human Resource Division/Section/Unit.

Functions and Responsibilities:

##### **1. Planning Bureau/Division/Section**

The PDPB shall be responsible for leading and overseeing the implementation of the DSWD SPMS at the organizational (all of the agency) and Office level. The PDPB and its FO counterpart shall perform the following:

- Assist in the formulation of Department Strategic Plans and conduct its review as necessary;
- In coordination with the FMS, assist OBS in defining the short term (annual) goals/outputs by organizing consultation meetings (e.g. work and financial planning) of all OBS to discuss performance targets for the coming

year. Ideally, this is to coincide with the annual Work and Financial Plan;

- Monitor and report the status of accomplishments of the Department to the Secretary, EXECOM, and as required by pertinent oversight agencies;
- Ensure that OBS' performance targets and measures and are aligned with the budget of the Department;
- Guide HOBS and provide technical assistance to FOs in the preparation of the OPCRf;
- Provide technical and secretariat services during the conduct of Office Performance Checkpoint and Office Performance Assessment sessions of both CO-OBSs and FOs as needed;
- Organize an annual agency performance planning and review conference to discuss results of the office performance assessments in the preceding performance period and use these as input to the performance planning for the current rating period; and
- Issue directives, guides or protocols to facilitate the implementation of the DSWD SPMS.
- Serve as the lead secretariat for office-level requirements of performance-based rewards and incentives available for government agencies.
- Serve as lead secretariat for the conduct of scheduled PMT meetings.

## **2. Human Resource Management and Development Service/Division/Section**

The HRMDS shall be responsible for leading and overseeing the implementation of the DSPMS at the individual (employees) level. The HRMDS and its FO counterpart shall perform the following:

- Provide assistance and issue reminders in the preparation of IPCRFs including the computation of scores/performance ratings and the accomplishment of other related forms;
- Review/Validate the computation of Individual Performance rating;
- Prepare appropriate reports relative to the implementation of the DSPMS at the Individual level and submit to appropriate authorities;
- Analyze the performance of officials and personnel and assist the supervisor in identifying areas of competence,

improvement, and gaps and recommend possible interventions to leverage and manage these. As far as practicable, an analysis of such performance trends shall be borne out of a sex-disaggregated database and shall progressively consider gender-related information and possible emerging gender and other related issues which may be addressed by the agency;

- Collect, organize and maintain files or records of performance ratings of officials and employees;
- Coordinate developmental interventions that will form part of the HR Plan.
- Coordinate with the Career Executive Service Board (CESB) to comply with the Career Executive Service Performance Evaluation System (CESPES) of Officials and other concerned individuals in accordance with pertinent CESB rules and regulations, and
- Coordinate with the CSC as needed to ensure proper and effective implementation of the DSWD SPMS.
- Monitor all individual-level requirements of performance-based rewards and incentives available for government employees.
- Serve as co-secretariat for the conduct of scheduled PMT meetings.

#### **E. Heads of Office including the Cluster Heads or Equivalent**

- Assume primary responsibility for performance management in his/her Office;
- Conduct planning sessions with the supervisors and staff to agree on the outputs that should be accomplished based on goals/objectives of the organization;
- Prepare and submit accomplished OPCRF to the PDPB;
- Submit quarterly accomplishment reports;
- Conduct initial performance assessment of Office performance using the approved OPCRF;
- Review and concur/approve IPCRFs of employees;
- Inform employees (in writing) of their final ratings in coordination with immediate supervisor and identify necessary interventions for employees based on the assessment of developmental needs;
- Provides feedback on employee's performance through regular discussions and coaching. A Performance Monitoring and Coaching Journal shall be accomplished to properly monitor employees progress and areas requiring improvements.

- Recommend and discuss a developmental plan with the subordinates who obtain Unsatisfactory performance during the rating period not later than one month after the end of the said period and prepare written notice/advice to subordinates that a succeeding Unsatisfactory performance shall warrant their separation from the service.
- Provides preliminary rating to a subordinate showing Poor performance not earlier than three (3) months after the rating period. A developmental plan shall be discussed with the concerned subordinate and issue a written notice that failure to improve their performance shall warrant their separation from the service.
- Identify potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives;
- Designate an Office PMS focal person for matters involving the implementation of the DSWD SPMS;
- As needed, provide inputs (e.g. records, reports, data) to the Rater to support the accomplishment claimed by an Office, Bureau or Service in the Department;
- Upon request of a Rater, participate as a resource person in the performance assessment exercise of an Office, Bureau or Service.

#### **F. Division Chiefs or Equivalent**

- Assume joint responsibility with HOBS in ensuring attainment of performance objectives and targets;
- Rationalize distribution of targets/tasks among subordinates in the Division;
- Monitor the performance of subordinates and provide support/assistance through coaching in order to meet performance targets;
- Evaluate employees' performance/accomplishments, strengths and weaknesses, competencies and inadequacies;
- Recommend developmental intervention/s if needed and provide support/guide the employee during its implementation; and
- Provide feedback with regard to the implementation of the DSWD SPMS and recommendations to improve it.

#### **G. PMS Focal Persons**

Each OBS and FO shall assign one (1) Focal Person and (1) Alternate Focal Person to jointly perform the following functions:



- Attend meetings and other activities related to DSWD SPMS implementation, review and enhancement;
- Re-echo instructions, requirements, plans and agreements in the PMS-related meetings and activities within his/her OBS/FO;
- Administer to Raters the PMS forms and ensure completion of these requirements;
- Act as secretariat on the OBS's Performance Review and Evaluation; and
- Assist the Head of Office in the submission of performance documents, i.e. O/D/IPCRF to PDPB, HRDS and their FO counterparts.
- Responsible for handling DSPMS and PBIS related appeals of their OB. Wherein part of their function is to consolidate and validate the justification and means of verification provided to be endorsed to their HOBS or to their RPMT for recommendation prior elevating it to the PMT Chairperson through the PMT Secretariat.

#### H. Individual Employees

- Act as a partner of management and their co-employees in meeting organizational performance goals by delivering expected outputs in the context of assigned roles and Terms of Reference (TOR);
- Accomplish all required performance management forms;
- Cooperate and participate in activities or programs that will enhance the ability to perform the assigned job, and
- Provide feedback on the implementation of the DSWD SPMS and recommendations to improve it.

### IX. USES OF PERFORMANCE RATINGS

1. Security of tenure of those holding permanent appointments is not absolute but is based on performance.

a. An employee who obtained an Unsatisfactory rating for one rating period or exhibited poor performance for the first 3 months of the rating period shall be provided appropriate developmental intervention by the Head of Office and supervisor (Division/Unit Head), in coordination with the HRMDS, to address competency-related performance gaps. Due notice must be provided to the personnel concerned about his/her unsatisfactory performance, and should be sufficiently warned that a succeeding

unsatisfactory performance shall warrant his/her separation from the service.

Performance Rating	Particulars
Unsatisfactory Rating	Notice shall be given not later than thirty (30) days from the end of the semester, and shall contain sufficient information which shall enable the personnel concerned to prepare an explanation within a reasonable period specified in the notice.
Poor Rating	Notice shall be given within fifteen (15) days after the end of the 3rd month, informing the status of his/her performance and that failure to improve within the remaining period of the semester shall warrant his/her dropping from the rolls. Such notice shall contain sufficient information which shall enable the personnel concerned to prepare an explanation within a reasonable period specified in the notice.

b. If after advice and provision of developmental intervention, the employee still obtains Poor rating for the remaining months of the rating period or Unsatisfactory rating in the immediately succeeding rating period, he/she may be dropped from the rolls. A written notice/advice from the head of office at least 3 months before the end of the rating period is required.

2. The PMT shall ensure validation of the Outstanding performance ratings to maintain the integrity of the DSPMS process at all times. Officials and employees who garnered outstanding performance ratings may be recommended for performance-based awards within the DSWD and external bodies or agencies. Grant of performance-based incentives shall be on the final ratings of employees as approved by the Head of Office.
3. Performance ratings shall be used as a basis for promotion, training, scholarship grants, and other personnel actions.

- a. Employees with Outstanding and Very Satisfactory performance ratings shall be considered for the above-mentioned personnel actions and other related matters.
  - b. Employees with Unsatisfactory will be prioritized for developmental interventions such as training, coaching, etc.
4. Officials and employees who shall be on official travel, approved leave of absence, training or scholarship programs, and who have already met the required minimum rating period of 90 days, shall submit the performance commitment and rating report before they leave the office.
  - a. For purposes of performance-based benefits, employees who are on official travel, scholarship, or training within a rating period, shall use their performance ratings obtained in the immediately preceding rating period.
5. Employees who are on detail or secondment to another office shall be rated in their present or actual office, furnishing a copy thereof to their mother/originating office. The ratings of those who were detailed or seconded to another office during the rating period shall be consolidated in the office, either the mother/originating (plantilla) office or the present office, where the employees have rendered the majority of their time and/or performance of services during the rating period.

## **X. APPEALS**

1. Office performance ratings as discussed in the performance assessment sessions shall be final at the level of the OBS. Any issue/appeal on the initial performance assessment of an Office shall be discussed and decided during the sessions.
2. An office or Individual employee who feels aggrieved or dissatisfied with their final performance ratings can file an appeal with the PMT within ten (10) days from the date of receipt of notice of their final performance rating from the Head of Office. An Office or individual employee, however, shall not be allowed to protest the performance ratings of other Offices or co-employees.
3. The grounds or conditions for consideration in filing an appeal shall be stipulated in the appeal process guide. As a general rule, appeals shall be based on errors of facts or appreciation of the rules on the part of the rater, as supported by the appropriate means of verification.

As far as practicable, the PMT shall decide on the appeals within one month from receipt.

4. Appeals lodged at any PMT shall follow the hierarchical jurisdiction of various PMTs in the Department. For example, the decision of the Regional PMT is appealable to the Central Office PMT.

The decision of the PMT at the Central Office may be appealed to the Secretary.

5. Officials or employees who are separated from the service on the basis of Unsatisfactory or Poor performance rating can appeal their separation to the CSC or its regional office within 15 days from receipt of the order or notice of separation.

## **XI. SANCTIONS**

Unless justified and accepted by the PMT, non-submission of the Office Performance Contract Review Forms to the PMT, and the Individual Performance Contract and Review Forms to the HRMDS may result to the following:


1. It may become a ground for employees' disqualification for performance-based personnel actions (such as promotion, training or scholarship grants and performance enhancement bonus) which would require the rating for the given period, if the failure of the submission of the report form is attributed to the fault of the employees.
2. It may subject the employee to an administrative sanction for violation of reasonable office rules and regulations for the delay or non-submission of the office and individual performance commitment and review report.
3. Failure on the part of the Division Chief/Head of Office to comply with the required notices to their subordinates for their unsatisfactory or poor performance during a rating period shall be grounds for an administrative offense for neglect of duty (CSC MC 6, s. 2012 – Part 3, II, c).

## **XII. EFFECTIVITY AND REPEALING CLAUSE**

This Order shall take effect immediately upon signing and shall supersede, amend or modify other pertinent provisions of Department orders, issuances and circulars inconsistent herewith.

Copies of this Order shall be disseminated to all the OBS at the Central Office and Field Offices. Any issues not covered in this guideline shall be raised to the PMT for resolution.

Issued in Quezon City, this 5th day of September 2023.

  
REX GATCHALIAN  
DSWD Secretary

**Certified True Copy**

  
**WILLIAM V. GARCIA, JR.**  
OIC-Division Chief  
Records and Archives Mgt. Division

29 DEC 2023