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MEMORANDUM CIRCULAR

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**SUBJECT: GUIDELINES ON THE PERFORMANCE
EVALUATION SYSTEM FOR THIRD LEVEL
OFFICIALS (PES-3rd level)**

I. RATIONALE

The Department of Social Welfare and Development's mission is to provide social protection and promote the rights and welfare of the poor, vulnerable and disadvantaged individuals, families and communities. Recognizing that quality service is a product of a competent organization, the Department has to ensure that its vision, mission and goals are met in an effective manner. Thus, on July 2005, the Department issued Memorandum Circular No. 15, series of 2005 entitled, "Enhanced Performance Management System (EPMS)" to institutionalize public accountability for organizational and individual performance.

On May 2, 2007, the Career Executive Service Board (CESB) through Resolution No. 661 dated January 23, 2007, issued a new set of guidelines on the Career Executive Service Performance Evaluation System (CESPES) to enhance the existing rules, policies and standards covering third level officials. It is expected that all national government agencies will adopt the said performance evaluation system.

With the issuance of the CESB guidelines, the Performance Evaluation System for 3rd level officials (PES-3rd level) was designed, harmonizing the DSWD's EPMS with the CESB's CESPES.

The PES-3rd level is a framework of policies and practices that holds officials accountable for individual and organizational performance with the end goal of enhancing organizational effectiveness.

II. LEGAL BASES

The Civil Service mandates the establishment of a performance evaluation system in every department or agency. Implementing Rule X, 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

1. To provide a clear, consistent guide in the installation, implementation, monitoring, and maintenance of the PES-3rd level;
2. To ensure that organizational and individual goals and expectations of officials are consistent with strategic planning initiatives and contribute towards achievement of the DSWD organizational outcome;
3. To promote excellence in organizational and individual performance and ensure effectiveness and productivity of the organization and employees;
4. To define clearly the officials' accountability and commitment to good governance in the performance of their duties and responsibilities;
5. To determine and manage high performance and low performance including training needs for the maintenance or improvement of officials' performance; and
6. To create a valid database of official personnel actions, such as: (a) promotional appointment to CESO ranks; (b) grants of merit-based incentives, awards and other forms of recognition; (c) career planning and development; and (d) accreditation and avilment of incentives granted by the Civil Service Commission (CSC).

IV. COVERAGE

The PES-3rd level modified shall cover all incumbents of CES positions in the Department from Director III to Undersecretary provided they have been holding the said positions for an uninterrupted period of at least three (3) months.

This also covers Division Chiefs (SG 24) and those occupying lower positions provided they are:

- Career Executive Service Eligibles (CESE); Career Service Executive Eligibles (CSEE) or Career Executive Officer Eligibles (CEOE); and
- Designated in an Acting or Officer-In-Charge (OIC) capacity of CES and DC positions.

V. DEFINITION OF TERMS

1. **Adjectival Rating** – is the qualitative description of the adjusted score based on the adopted rating scale.
2. **Adjusted Performance Contract and Review Form (APCR)** – refers to the revised and updated PC reflecting all the changes/adjustments.

3. **Behavioral Competency Scales (BCS)** – an assessment of the Ratee's executive leadership and managerial competence in the work setting. There are two variations of forms used:
 - a. Superior Rating Form – for use of the immediate supervisor of the ratee
 - b. Subordinate Rating Form – for use of the identified line/staff subordinates of the ratee
4. **Critical Incident(s) and Area(s) for Improvement Form**– refers to the feedback component form of the system.
 - a. *Critical Incident(s)* – composed of one or more significant anecdotes drawn by the Rater from the Ratee's actual work performance used as reference to justify the PC and behavioral competency ratings given to the Ratee.
 - b. *Area(s) for Improvement* – identifies specific aspects of the Ratee's work performance which fall below the expected quality standards and which need to be improved through the conduct of purposive and appropriate education, training, or other capacity building interventions.
5. **Key Result** – refers to accomplishment, output or set of outputs being measured and described in terms of quantity, quality and time.
6. **Performance Contract and Review form (PCR)** – measures and assesses the Ratee's performance on the basis of work target commitments established and actually accomplished and completed by the Ratee.
7. **PES-3rd level Head Secretariat** - shall refer to HRMDS tasked to be primarily responsible for the installation, implementation, monitoring, and maintenance of the PES-3rd level in the Department.
8. **PES-3rd level Overall Performance Feedback Report** – provides a summary of the Ratee's performance ratings and shall be generated by CESB.
9. **PES-3rd level Technical Support Group (TSG)** – shall be composed of representatives from the different Offices/Bureaus/Services (OBS) in Central Office who will review the Performance Contract in relation to the Organizational Performance Indicators Framework (OPIF) and thrusts and priorities of the Department and assist in policy development for the Performance Management System.
10. **Ratee** – refers to the Official whose performance is being evaluated.

11. **Ratee Information Sheet (RIS)** – is the complete, updated, and officially certified list of all Raters who are qualified and designated to rate each individual Ratee's work performance in a given rating period. It is adopted from the CESB's CESPES.
12. **Rating Period** - period wherein the Ratee's overall performance is assessed on an annual basis, commencing on January of the rating period, and ending on December of the current year.
13. **Scorecard** – refers to the monitoring matrix of accomplishments of Field Offices with the corresponding scores given by the Offices/Bureaus/Services on their required key result standard and 1-7 rating scale. It specifies the number of actual output, date of submission/receipt and quality description and summary of feedback to the FOs.
14. **Subordinate Raters** - refers to BCS Raters who are holding permanent positions under regular, casual and contractual status (except MOA workers) and who are directly supervised by the Ratee-Official for at least 3 months. The number is pre-determined¹, as indicated and verified on the RIS.

For Central Office

- *For Undersecretary, subordinates shall be the Cluster Assistant Secretary/ies, Directors and line staff directly under his/her supervision.*
- *For Assistant Secretary, subordinates shall be the Directors and line staff directly under his/her supervision.*
- *For Director IV or Head of Office, subordinates shall be the Assistant Directors, Division Chiefs and line staff directly under his/her supervision.*
- *For Assistant Directors, subordinates shall be the Division Chiefs and/or line staff directly under his/her supervision.*

For Field Offices

- *For Regional Director, subordinates shall be the Assistant Directors, Division Chiefs, Center Heads, and line staff directly under his/her supervision.*
- *For Assistant Directors, subordinates shall be the Division Chiefs and/or line staff directly under his/her supervision.*

15. **Superior Rater** - refers to the BCS Rater who is the immediate supervisor of the Ratee.

For Central Office

- *For the Undersecretary, superior shall be the Department Secretary.*
- *For the Assistant Secretary, superior shall be the Cluster Undersecretary.*
- *For the Head of Office/Bureau/Service, superior shall be the Cluster Undersecretary and/or Assistant Secretary.*

¹ Depending on the number of subordinates, CESPES prescribes the following number of subordinates as BCS raters: 10 = 100% of staff; 11-15=11; 16-20=12; 21-25=13; 26-30=14; 31&above=50% of staff.

- *For the Director of special projects, superior shall be the National Project Director.*
- *For the Assistant Bureau Director, superior shall be the Head of the Bureau and/or the Assistant Secretary.*

For Field Offices

- *For Regional Director, superiors shall be the coach monitor in accordance to the regional cluster jurisdiction and/or the Cluster Undersecretary.*
- *For Assistant Director, superiors shall be the Regional Director of the Field Office, Assistant Secretary and/or the Undersecretary.*

VI. COMPONENTS AND FORMS USED

A. Technical/ Functional Component

This component measures the Ratee's performance on the basis of work targets established, accomplished and completed by the Ratee. This component shall comprise 80 percent of the overall PES rating of the Ratee.

1. The **Performance Contract and Review Form (PCR)** (Annex A) shall be used for the purpose. The Secretary or her representative may prescribe a template for use by the Department's CES incumbents.
 - a. *Key results* are work performance targets which the Ratee shall commit to accomplish. These are formulated statements of outputs which have already occurred or been accomplished for an envisage target at a specified time. Key results are derived from specific objectives, results or end outputs from the duties and responsibilities identified by the Ratee in agreement/negotiation with the Superior Rater. The targets are empirically observable, objectively verifiable and measurable work performance standards which fall within the scope of the Ratee's performance. Key Result Areas (KRA) that ultimately impact on the products and services of the Department shall be derived from the mandates of OBS and the Major Final Output (MFOs).
 - For OBS Directors, key results shall be identified along policy and plans development, mandate of OBS, strategic support services, Reform Agenda, Performance Governance System-Balance Scorecard (PGS-BCS) and special directives of the Secretary or urgent concerns.
 - For Regional Directors, key results shall be identified by the requirements of OBS which includes the following KRAs in their PC template: Formulation, Advocacy, Monitoring and Evaluation of SWD Plans, Policies and Programs, Standards Setting and Compliance Monitoring, Capability Building and Technical Assistance to Intermediaries, Local Networks including Locally Funded Projects,

Direct SWD Services to Community and Center-Based Clients, Strategic Support Services and PGS-BCS.

- For Assistant Directors, key results shall be targeted based on the negotiation with his/her Director and may follow his/her Director's KRAs.
- b. The *percentage weight* allocation shall not be restricted to the prescribed range by the CESPES. Weight shall be assigned depending on the Ratee and KRA's level of difficulty and time demand given the OBS' condition/ resources.
- c. *Indicators*. Key results are stated in terms of the following essential dimensions: (i) Quantity - answers the questions "how many or how much" of the output will occur or be accomplished; (ii) Quality - answers the questions "how well; in what form/ manner" the output will occur or be accomplished; (iii) Timeliness - answers the questions "when, how long, or how soon" the output will occur or be accomplished.
- 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 standards set by the OBS through their monitoring scorecard to ensure consistency of quality across units;
 - Target for time should be specific possibly on the expected period for delivery of result. Specific date, period, month, quarter or semester, whichever is applicable, should be indicated;
 - Generally, a key result/output is measured by all 3 performance indicators of quantity, quality and time; however, other results/outputs may be measured by time and quality only.
- d. Actual - reflects the Ratee's actual achievement/ accomplishment vis-à-vis the target commitments.
- e. Average Rating - reflects tentative ratings for key result (or the average of Quantity, Quality and Timeliness).
- f. Weighted Rating - reflects the raw score multiplied by the percentage weight.

During the first quarter (January – March) of the rating period or within the first three (3) months of the assumption to office, the Ratee shall come to an agreement with the Superior Rater on his/her key results and the specific percentage weight for each. These agreements shall be reflected in the first two columns - "Key Result" and "Weight"- of the PCR Form (Annex A) for the

Rating Period concerned. The Ratee and the Superior Rater shall then affix their signatures at the first "Concurrence" portion of the PCR Form. Once concurred by both parties, a copy of the form shall be submitted to the PES-3rd level Secretariat.

2. **The Adjusted Performance Contract and Review Form (APCR)** shall be used to reflect all changes made to the PCR. Once completed by the Ratee and approved by the Superior Rater, the APRA shall be considered and used as the official replacement of the submitted PCR. The APCR shall be accomplished only once and shall be submitted to the PES-3rd level Secretariat not later than September of the Rating Period.

B. Behavioral Component

This component measures/evaluates the Ratee's behavioral competence, which refers to executive leadership and managerial competence in the work setting. The assessment shall be determined from scores obtained from BCS accomplished by the Ratee's Superiors and Subordinates.

The forms to be used for this component are:

- **Behavioral Competency Scale (BCS) for Superior Raters** (Annex F-a of CESPES) (Annex B), and;
- **Behavioral Competency Scale (BCS) for Subordinate Raters** (Annex F-b of CESPES) (Annex C).

The BC Rating shall comprise 20 percent² of the overall PES-3rd level rating of the Ratee. A seven-point scale shall be used covering the following dimensions:

1. Creativity and Innovation - ability to offer innovative approaches and promote an environment conducive to creative and innovative thinking.
2. Critical and Systemic Thinking - high cognitive capacity and the ability to assess complex ideas and situations.
3. Environmental Acumen - ability to understand and align the Department's performance with government objectives and the broader economic, political and administrative mechanisms in which it operates.
4. Honesty and Integrity - ability to model the highest standards of personal and professional behavior and fostering a politically impartial and incorrupt public service.
5. Judgment - the ability to gain a broader perspective from all available resources, reach sound conclusions and decisions and use logical analysis in generating and evaluating action plans.

² The percentage weight allocation scheme for the sum total of the BCS ratings shall be 70 percent for the Superior Rater and 30 percent for the Subordinate Rater.

6. Leadership - the ability to develop, communicate and pursue a clear, inspiring and relevant vision and direction that is linked to the overall government strategy.

Note: The tools and the procedures of accomplishment of BCS Forms are prescribed by CESB.

C. Feedback Component

The Feedback Component includes the Critical Incidents (significant or commendable performance) and the Areas for Improvement which does not contribute to the Ratee's overall rating. It is accomplished on need basis and may be omitted if the Rater sees no need for it. **The Critical Incidents (CI) and Areas for Improvement (AI) Form** shall be used for this component, and shall be submitted to CESB.

VII. THE PERFORMANCE EVALUATION CYCLE AND IMPLEMENTING GUIDELINES

The PES-3rd level is a 12-month cycle, starting in **January 01** and ending in **December 31**. Assessment shall be annual and shall be composed of the following stages: (a) **Performance Planning**; (b) **Performance Monitoring**; and (c) **Performance Appraisal**.

Before the start of the year (i.e., October to December of current year), Ratees shall submit their **Ratee Information Sheet (RIS)** to the respective PES-3rd level Secretariat (i.e., CO or FO) for submission to the CESB. No Ratee shall be allowed to undertake the PES-3rd level without the RIS (Annex D). The RIS is updated yearly by the Ratees.

A. Performance Planning Stage

1. This stage is also known as the contract-setting stage. The PCR/PC shall be formulated based on, but not limited to the Work and Financial Plan (WFP), thrusts and directions of the Department, and their office mandate. The Key Results shall be identified for pertinent KRA of each Ratee including tasks delegated by the Secretary, as applicable.
2. The ratee and the coach monitor or superior rater shall identify and agree on the key results to be committed for the rating year and the corresponding performance weights and indicators to measure the same. This shall be done within the first quarter (January-March) of the Rating Period or within the first three (3) months from the assumption to office of the Ratee.

B. Performance Monitoring Stage

1. This stage checks the progress of the Ratee relative to his/her Performance Contract through the conduct of an official mid-year checkpoint and monitoring. This involves formal and informal feedback/coaching sessions between raters and ratees to ensure that committed results are achieved. This serves as a venue for monitoring status of committed results. Appropriate actions/interventions to be undertaken shall be agreed upon by both parties as needed. The official mid-year Performance Monitoring shall be done from **June to September of the Rating Period**.
2. The Ratee and the Coach-monitor or Superior Rater may also opt to have regular consultation meetings/dialogues aside from the mid-year checkpoint and monitoring. These meetings shall have the objective of monitoring/ tracking the Ratee's performance; studying issues and concerns affecting said performance; and enabling the Superior Rater to provide assistance, advice, guidance, mentoring and feedback. This may be done as often as needed **until December of the Rating Period**.
3. Based on the discussions with the Superior Rater or Coach Monitor, the Adjusted Performance Contract and Review (APCR) form shall be used and submitted to the PES-3rd level Secretariat for changes made to the commitments indicated in the Ratee's PCR. This shall be endorsed by the Coach Monitor for approval of the Rater.

C. Performance Appraisal Stage

In this stage, the Ratee's performance is evaluated based on actual accomplishments vis-à-vis commitments made during Performance Planning for the 12-month rating period. This shall be done by **January and shall be completed by the end of March of the following year**. Rating accomplishments shall be guided by the general standards specified in the **1-7 Rating Scale** as follows:

Rating (%)	Adjectival Rating	Indicators
7 (Above 125%)	Outstanding	Key result far exceeds the expectations. Key result achieved extends beyond the assignment. Output is considered perfect and a model for excellence.
6 (101-125%)	Good Solid Performance	Key result is above the expectation. Output is more than acceptable, very effective and efficient.
5 (100%)	Solid Performance	Key result meets the required standards in all areas. Output is effective and efficient.
4 (76-99%)	Fair	Key result meets required standards in most areas. Output is acceptable.
3 (51-75%)	Below Average	Key result meets some of the expectations but others are not fully met. Output has minor mistakes.
2 (26-50%)	Poor	Key result does not consistently meet expectations or targets. Output is inefficient and ineffective and needs improvement.
1 (25% and below)	Unacceptable	Key result fails to meet required standards. Output is incomplete and inaccurate and needs a lot of improvement.

- Average rating shall be determined by getting the average scores for Quality, Quantity, and Timeliness or as justified by the ratee using the 1-7 rating scale.
- Weighted rating shall be determined by multiplying the average rating to the corresponding percentage weight for each KRA.
- The sum total of all the ratings under the "Weighted Rating" column of the PCR/APCR shall be computed to obtain the Total Rating.

C.1.a Technical/ Functional Component for Undersecretaries and Assistant Secretaries

- a. The Ratee shall accomplish the "Actual" part of the PCR/APCR, and a tentative average rating shall be provided for each key result using the 1-7 Rating Scale.
- b. The PCR/APCR shall be submitted to the Supervisor Rater and then to the Secretary to agree by affixing their signatures at the second "Concurrence" portion of PCR/APCR for the self-rating of the official.
- c. The signed PCR/APCR shall be submitted to the PES-3rd level Secretariat for verification of the final rating score.

C.1.b Technical/ Functional Component for Directors

- a. The schedule of Performance Appraisal and Evaluation of Directors/Heads of Offices shall be set by the Cluster Head.
- b. The Ratee shall accomplish the *Actual vis-à-vis* the *Indicator* column on the PCR/APCR, and a tentative rating shall be provided for the Quantity, Quality, Timeliness and Average Rating of each key result using the 1-7 Rating Scale.
- c. The Ratee shall then provide the PES-3rd level Secretariat a copy of the updated PCR/APCR at least one week before the scheduled appraisal for review/validation of the Rater and members of the Technical Support Group (TSG) through the OBS scorecard (for Regional Directors).
- d. During appraisal, the PMS Secretariat in the CO, Coach Monitor and the Rater must be present. In case there is conflict in the schedule of the Coach Monitor and Rater, at least one of them must be present to confirm the ratings of the Ratee. Other officials/staff may attend with the approval of the Rater. In case the Rater or Coach Monitor and Ratee cannot meet on set deadline, the Rater shall instruct the Ratee to submit his/her PCR/APCR for the Coach Monitor and the Rater's concurrence.
- e. The PES-3rd level Secretariat shall organize an official Performance Assessment where the Ratee, Coach Monitor, Superior Rater and/or TSG representative shall meet to agree on the final rating of the Ratee based on the supporting documents/outputs/accomplishments.
- f. The Ratee and the Superior Rater shall then agree by affixing their signatures at the end portion of the PCR/APCR and submit a copy of the form to the PES-3rd level Secretariat.

C.1.c Technical/ Functional Component for Assistant Directors

- a. The Ratee shall accomplish the "Actual vis-à-vis the Indicator column on the PCR/APCR, and provide a self-rating based on the 1-7 Rating Scale.
- b. The Ratee shall provide the PES-3rd level Secretariat (CO PES-3rd level Secretariat for Assistant Bureau Directors and FO PES-3rd level Secretariat for Assistant Regional Directors) a copy of the updated PCR/APCR to verify computation of ratings.
- c. The PCR/APCR shall be submitted to the Supervisor Rater who shall then agree with the Ratee's self-rating by affixing his/her "Concurrence" at the end portion of the PCR/APCR and submit a copy of the form to the PES-3rd level Secretariat.

C.2 Behavioral Component

- 2.1 Based on the accomplished RIS (Annex D), the CESB shall validate the superior and subordinate Raters of the CES incumbents.
- 2.2 The PES-3rd level Secretariat shall assign a control number per Rater and its BCS form.
- 2.3 The PES-3rd level Secretariat shall organize a session where all Raters shall accomplish the BCS Forms. It shall be accomplished under conditions of strict privacy, full confidentiality, and freedom from any or all forms of duress. The PES-3rd level Secretariat will collect the accomplished forms by the end of the session for onward submission to the CESB.
- 2.4 Substitute Raters outside of those in the Ratee's RIS shall be prohibited. In cases where the identified raters are not available due to a valid reason (e.g., being sick or on Official Business for the duration of the conduct of the session), the Raters may be allowed to accomplish the BCS Forms outside the session. In such instances, the accomplished BCS form shall be sent to the CESB in a sealed envelope, together with a certification from the PES-3rd level Head Secretariat that the accomplishment of the BCS outside the session is in accordance with these rules. Absence of the said certification from the PES-3rd level Head Secretariat shall invalidate the ratings of such Rater.
- 2.5 The Superior/Subordinate Rater is also encouraged to accomplish the Critical Incidents (CI) and Areas for Improvement (AI) Form in relation to the Ratee.

C.3 Submission of Accomplished PES-3rd level Forms

The PES-3rd level Secretariat (i.e., in FOs and CO) shall submit all³ accomplished PES-3rd level forms of all Ratees to the nearest CESB office, whether in the Region or in the Central Office for the computation of the performance ratings. This should be done not later than the **last working day of March after the Rating Period.**⁴

D. Rules Covering Specific Cases

D.1 Computation of Incomplete Ratings of a Ratee

- 1.1 The computation of the PES-3rd level ratings of a Ratee who has incomplete ratings may be allowed only when the said ratings in question can no longer be obtained due to any or a combination of the following circumstances affecting the source of the ratings:
 - a) Separation such as death; retirement; and resignation;
 - b) Approved official leave availed of for a long term;
 - c) No Substitute Raters are available from the Ratee's RIS; and all other reasons that will qualify that the ratings cannot be obtained, or that the source of the ratings is impossible to reach within the allowable and reasonable duration of time for the conduct of the CESPES.
- 1.2 For BCS Forms, the ratings given by the actual Subordinate Raters shall be provided equal percentage weight allocations.
- 1.3 For the PCR/APRC, the Superior Rater may be replaced by the appropriate substitute, as indicated under Replacement of Raters (see succeeding page).
- 1.4 In case of the total absence of Raters, the Ratee shall make an official request in writing addressed to the CESB for an independent evaluation of his/her work performance and behavioral competence for the given Rating Period. The Ratee shall attach to the said request samples of the actual accomplishments, related evidences, and other supporting data to describe and validate the performance targets actually accomplished.

³ This includes the fully-accomplished and approved Performance Contract and Review (PCR) Form, Ratee's Information Sheet (RIS, Annex A), Behavioural Competency Scale (BCS, Annex F-a and F-b) and the Critical Incidents and Areas for Improvement Form (CIAI).

⁴ The CESB shall process and provide for the Overall Performance Feedback Report for each Ratee. The report includes the Ratee's Summary of Ratings, Adjusted Score, Adjectival Rating and summary of data in the CIAI Form.

D.2 Replacement of Superior and/ or Subordinate Raters

In cases where a Rater is not available, the following rules shall apply:

2.1 For Superior Raters. The Superior who is higher in rank to the immediate superior of the Ratee, and who currently or may have exercised direct or indirect supervision and authority over the Ratee in the performance of functions for a certain period of time, shall replace the original Superior Rater in undertaking and completing the PES-3rd level.

2.2 For Subordinate Raters. The remaining Subordinate Raters of the Ratee as identified in the Ratee's RIS shall undertake and complete the PES-3rd level.

D.3 Multiple Superior Raters

In case a Ratee has Multiple Superior Raters, pro-rated percentage weights shall be allocated for each of the performance ratings obtained from each Superior Rater based on the length of time during which the Ratee is under the direct supervision and authority of the specific Rater in the performance of tasks/functions. In the BCS Form, individual performance ratings obtained from each Superior Rater shall be allocated equal percentage weights and average to arrive at the Superior BCS Rating.

D.4 Consecutive Positions in a Rating Period

In case a Ratee has consecutively occupied more than one CES position of different levels and/or different OBS/Field Offices in a given Rating Period, he/she shall adjust the PCR according to the mandate of the new assigned OBS. Likewise, the corresponding BCS raters in each assignment/designation shall accomplish the BCS forms for the given period.

In the event that a Ratee consecutively occupied more than one (1) CES position of equivalent level in a given Rating Period, the computation of the PCR and BCS ratings shall be pro-rated based on the number of months that the Ratee occupied the said position.

VIII. ROLES AND RESPONSIBILITIES

A. The PES-3rd level Technical Working Group

The PES-3rd level Technical Working Group (TWG) may be organized upon recommendation of the Director of the Human Resource Management and Development Service (HRMDS), to address issues on the implementation of PES-3rd level particularly target setting, and assist in the policy development of performance management system (PMS). This shall be composed of all Assistant Secretaries and Heads the Policy Development and Planning Bureau, Standards Bureau, Social Technology Bureau, Program Management Bureaus, and HRMDS.

The representatives from all the Bureaus shall also be the Technical Support Group (TSG) representative during the performance appraisal of the Regional Directors. They shall validate the self-rating of the Regional Directors' performance in relation to the thrusts and priorities of the Department based on their monitoring scorecard.

B. The Offices, Bureaus and Services (OBS)

The heads of OBS shall designate a focal person who shall assist in the PES-3rd level implementation and the PMS in general. As the needs arise, the focal person shall provide inputs/recommendations to the PCR form template for the Regional Directors.

C. The PES-3rd level Head Secretariat

1. Central Office

The HRMDS Director shall be designated as the CO PES-3rd level Head Secretariat. He/she shall be primarily responsible for the installation, implementation, monitoring, and maintenance of the PES-3rd level in the Department. He/she shall have the following specific responsibilities:

- Oversee activities of the CO PES-3rd level Secretariat.
- Officially certify and submit the RIS to the CESB before the Rating Period (i.e., October- December of the current year) in preparation for the Performance Rating in January of the following year.
- Monitor the submission, recording, and filing of copies of PCR/APCR and other forms accomplished and reproduced by the Ratee.

2. Field Office

The Management Division Chiefs in the Field Offices shall be designated as FO Head Secretariat. They shall be primarily responsible for the implementation, monitoring, and maintenance of the CESPES in the Field Offices. They shall also coordinate with the CO Secretariat on matters pertaining to the PES-3rd level and ensure that pertinent CESPES documents/forms are submitted to the Central Office.

D. The PES-3rd level Secretariat

1. Central Office

The PES-3rd level Secretariat for Central Office shall consist of staff from the HRMDS - Career Planning and Development Division (CPDD). It shall assume the following responsibilities:

- Coordinate with the Ratee and Raters to ensure timely conduct of PES-3rd level activities;
- Disseminate PES-3rd level tools;
- Collect, record, organize and file copies of PCR/APCR and other forms accomplished and reproduced by the Ratee.
- Check if the contents of approved APCR completely and accurately reflect all changes that must be indicated on the PCR;
- Countersign the PCR/APCR if it is in order;
- Reproduce copies of the PCR/APCR for the Ratee;
- Document proceedings of the Actual Performance Appraisal, particularly on issues raised, actions taken, and recommendations;
- Organize workshops for accomplishment of BCS forms in the Central Office;
- Collect, organize, document, and secure all BCS Forms and CI and AI Forms after the workshops;
- Reproduce CESB Overall Feedback Report for filing and storage in the Ratee's 201 File and forwarding the original copy to the concerned Ratee;
- Assist the PES-3rd level Coordinator in conducting other PES-3rd level related tasks; and
- Act as Secretariat to the TWG.

2. Field Office

The FO Secretariat shall be composed of designated staff from the Personnel Unit. The secretariat shall have the following functions:

- Coordinate with the Central Office Secretariat regarding conduct of PES-3rd level activities and submission of the PCR/APCR;
- Disseminate BCS forms to identified Raters;
- Organize workshops for the accomplishment of BCS forms in the Field Office;
- Collect, organize, document, and secure all BCS Forms and CIAI Forms for submission to HRMDS/CESB.

All records and files relative to the PES-3rd level in the Field Offices shall be the responsibility of the Personnel Unit.

IX. VIOLATIONS

Any violation of any provision in this Circular shall be dealt with in accordance with existing Civil Service laws, rules and regulations.

A. Requests, Complaints, Disputes, Anomalies, and Irregularities on the PES-3rd level

The Department shall implement policies, guidelines, rules and regulations to facilitate the effective administration and use of the PES-3rd level. All requests, petitions, complaints, disputes, anomalies and irregularities in the implementation

and use of the PES-3rd level shall initially be resolved through alternative dispute resolution methods before being referred to the Grievance Committee duly constituted by the Department for management and resolution.

After the Department Grievance Committee has decided on the matter, but the Ratee still finds valid and reasonable bases to pursue the same complaint and/or to seek satisfactory resolution to any unresolved issue on the case, he/she may elevate the said case to the CESB.

B. Annulment of the PES-3rd level

The PES-3rd level performance rating process undertaken shall be annulled or declared a failure in the event of, but not limited to, offenses such as coercion, collusion, tampering, breach of confidentiality, and other such offenses which are contrary to the purposes, objectives and uses of the PES-3rd level.

The Ratee whose PES-3rd level is annulled shall have no performance rating for the Rating Period, without prejudice to the filing of the appropriate administrative and/or criminal cases against him/ her.

X. PERFORMANCE INCENTIVES

A. Performance Incentive Bonus

Pursuant to the provisions of the General Appropriations Act (GAA), a performance incentive bonus may be granted based on the following ratings:

Adjectival Scale	Numerical Scale	PIB Amount
Outstanding	5.84 – 7.00	Php 2,500
Very Satisfactory	4.63 – 5.83	Php 2,000
Satisfactory	3.42 – 4.62	Php 1,500
Unsatisfactory	2.21 – 3.41	None
Poor	1.00 – 2.20	None

B. Career Development

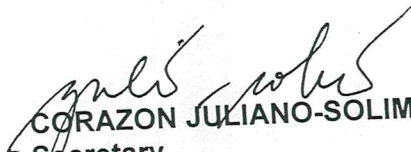
An official who is given a Very Satisfactory Final Rating for the year may avail of any career development opportunities, such as promotional appointment, grant of merit-based incentives, awards, recognition and the like, provided he/she meets all the requirements specified under the guidelines.

XI. EFFECTIVITY


This Circular shall take effect 15 days upon signing and shall supersede, amend or modify other pertinent provisions of Department orders, issuance and circulars inconsistent herewith.

Copies of this Circular shall be disseminated to all the OBS at the Central Office and Field Offices.

Issued in Quezon City, this 30th day of SEPTEMBER, 2011.


CORAZON JULIANO-SOLIMAN
Secretary

Certified Copy:


MYRNA H. REYES
Officer In-Charge
Records Unit

Republic of the Philippines
Career Executive Service Board
 No. 3 Marcelino St., Holy Spirit Drive, Diliman, Quezon City
 911-49-81 to 88

Career Executive Service Performance Evaluation System

OFFICIAL TO BE RATED:
POSITION DURING THE RATING PERIOD:
OFFICE/AGENCY/DEPARTMENT:
OFFICE ADDRESS:
RATING PERIOD:

Behavioral Competency Scale (BCS) for Superior Raters

Read the sentences and rate the ratee in terms of how often you have observed the behavior being described.

Kindly encircle the number that best represents your assessment of the ratee's behavior.

Unable to Rate/ Unsure of Answer	Never Shows the behavior Being Described								Always Shows the behavior Being Described
	1	2	3	4	5	6	7		

Unable to Rate/ Unsure of Answer	Never							Always
	1	2	3	4	5	6	7	

Creativity and Innovation		Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
1.	Recommends and implements reforms contributing to the attainment of the office goals and objectives.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
2	Does not suggest a new perspective of looking at things, be they policies, programs, projects or problems.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
3	Does not say much in meetings and does not contribute to the discussion. When s/he speaks, it will just be in terms of agreeing to what is being proposed.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
4	When an innovation is introduced s/he builds on it by adding his/her ideas or makes adjustment for better implementation or acceptance of the change.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
5	When given a problem to solve, sees it as a challenge and gets excited at the chance of being able to work on it.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7

ANNEX F - a

Critical and Systemic Thinking		Never								Always
6	Does not explore other ways of doing things and resigns to prevailing circumstances.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
7	Anticipates changes along the way particularly when planning a project and makes contingency plans.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
8	Systematically analyzes and evaluates problems and issues as basis for recommending and implementing effective solutions.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
9	Does not check the nature and sources of data or information before deciding.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
Environmental Action										
10	Blames limited government resources for inability to meet service quality standards.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
11	Does not maximize the use of scarce government resources to achieve expected outputs.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
12	Does not network and establish strategic alliances with stakeholders to achieve goals/objectives.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
13	Sees opportunities when to effectively pursue his/her unit's/department's goals.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
14	Willingly attends to activities that would entail relating to other stakeholders including LGJs, clients, and development agencies.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
Honesty and Integrity										
15	Lets work pile up on desk and unmindful of set deadlines for tasks.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
16	Does not report to work regularly.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
17	Works expeditiously to achieve results on time.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
18	Makes use of official time and resources wisely.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
Judgment										
19	Listens to hearsay and does not look at all angles.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
20	Weighs matter judiciously and takes necessary action for his/her decision to be carried out.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
21	Knows how to set priorities. Is not easily overwhelmed if assigned multi-tasks because s/he has a defined set of criteria by which s/he assesses his/her tasks	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	

ANNEX F - a

		Never							Always
		1	2	3	4	5	6	7	
22	Makes sound decision by gathering all pertinent information and goes through a logical analysis of these.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
23	Does not study all angles of a matter. During instances when s/he is uncertain, s/he does not solicit for ideas and information from subordinates, peers and superiors.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
Leadership									
24	Knows own limitations and consults peers and subordinates on certain matters.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
25	No passion for work, for the organization, or for the agency's clientele.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
26	Effectively monitors and evaluates office performance to ensure alignment with organizational/national goals and objectives.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
27	Does not set realistic goals.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
28	Does not set time frame for task to be done.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
29	Provides no substantive contribution to the organization's performance.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
30	Inspires a sense of purpose that unifies co-workers through a shared vision.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
31	Develops the skills, knowledge and abilities of subordinates for effective work performance. Mentors subordinates to maximize their leadership/managerial potentials.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
32	Is versatile and humble enough to perform even staff functions when the need arises.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
33	Plans, organizes and executes the programs using a systematic process.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
34	Does not set priorities, goals and objectives that the team should work for.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
35	Is not open to suggestions, comments and inputs from all sides.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7

SIGNATURE OVER PRINTED NAME OF RATER

POSITION:	
OFFICE/AGENCY/DEPARTMENT:	
DATE ACCOMPLISHED:	

Career Executive Service Performance Evaluation System
Behavioral Competency Scale (BCS) for Subordinate Raters

OFFICIAL TO BE RATED:
POSITION DURING THE RATING PERIOD:
OFFICE/AGENCY/DEPARTMENT:
OFFICE ADDRESS:
RATING PERIOD:

Read the sentences and rate the ratee in terms of how often you have observed the behavior being described.

Kindly encircle the number that best represents your assessment of the ratee's behavior.

Unable to Rate/ Unsure of Answer	Never Shows the behavior Being Described							Always Shows the behavior Being Described
	1	2	3	4	5	6	7	

Unable to Rate/ Unsure of Answer	Never						Always
	1	2	3	4	5	6	7

Creativity and Innovation		Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
1	Does not provide new ideas and approaches to a project or a problem.	1	2	3	4	5	6	7	
2	S/he does not initiate change in the office. Does not think of ways to improve systems, procedures and employee welfare.	1	2	3	4	5	6	7	
3	Comes up with new ways of looking at a situation. Contributes alternatives to issues and problems.	1	2	3	4	5	6	7	
Critical and Systemic Thinking		Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
4	Knows the nuances of the job. Knowledgeable and has the technical expertise to handle his/her tasks.	1	2	3	4	5	6	7	

ANNEX F - b

		Never							Always
5	Does not understand the details of the papers submitted and signs even without completed staff work.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
6	Comes up with innovative ideas and shares this with his/her subordinates, colleagues and superiors.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
Environmental Actmen									
7	Cannot navigate the politics involved in his/her job. Unable to manage pressures to ensure that appropriate course of actions are followed.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
8	Has the ability to implement projects successfully through proper utilization of resources. Makes wise use of resources and savings are applied to improving our work environment.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
9	Maintains the continuity and stability of operations of the agency notwithstanding changes in leadership and policies.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
Honesty and Integrity									
10	Passes all work to staff or other units even if these would need his/her inputs and interventions.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
11	Spends office time unproductively. S/he has no concrete contribution to unit performance.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
12	Has good works ethics. Delivers on targets and works hard on tasks.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
Judgment									
13	Does not implement office policies consistently.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
14	Does not look at all angles of the situation before acting and deciding.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
15	Studies all angles of a matter. During instances when s/he is uncertain, s/he solicits for ideas and information.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
16	Makes firm and principled decisions.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
Leadership									
17	Does not mentor subordinates to enhance their knowledge and skills.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
18	Has good communication skills. Provides examples. Can simplify complicated concepts and makes sure that subordinates or the other party understands. Often asks for questions and feedback.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7
19	Inspires subordinates to reach unit organization objectives. Makes his/her unit staff excited about reaching the objectives of the unit.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7

ANNEX F - b

			Never							Always
			1	2	3	4	5	6	7	
20	Does not provide clear instructions on assigned tasks and sets no standards for the output.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
21	Unable to harness the expertise of his/her staff. Delegates tasks to staff that does not match his/her capabilities.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
22	S/he is seen in the office doing his/her work. If s/he is away, the staff knows when and how s/he can be consulted on important matters.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
23	Has a clear picture of what the organization should be and what goals it should attain in the long term, and steers it in that direction.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
24	Informs subordinates of changes in the plans with enough lead time.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
25	Regularly monitors work of subordinates.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
26	Shows indifference and does not support subordinates in need of assistance.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
27	Does not give clear instructions to subordinates and vaguely discusses accountabilities on expected results.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
28	Does not inspire and challenge subordinates to do their best.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
29	Does not mingle with subordinates and is regarded as unapproachable.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	
30	Promotes the holistic development of self and others. Unit has timetable for staff enhancement and development such as sessions for reflection, spiritual nourishment and relaxation, inputs or learning of new knowledge and skills.	Unable to Rate/ Unsure of Answer	1	2	3	4	5	6	7	

SIGNATURE OVER PRINTED NAME OF RATER

POSITION: DIRECTOR
OFFICE/AGENCY/DEPARTMENT: Human Resources Management and Development Service, DSV/D
DATE ACCOMPLISHED:

Career Executive Service Board
Career Executive Service Performance Evaluation System (CESPES)
RATEE INFORMATION SHEET
For CY 2010

IMPORTANT:
If you have been assigned to another CES position for at least (3) three months during the year, it is important that another Ratee Information Sheet be accomplished for that position so we can get the assessment of your performance by your immediate superior and subordinates in that position. All data in this document are subject to further verification by the CESB staff.

Please type or print all responses.
Use additional sheets if necessary.

PRINTED NAME OF INCUMBENT

(Title of Position)
(If you are an OIC, please also indicate your original plantilla position)

(Inclusive Dates in Present Position)

Department of Social Welfare and Development
(Office / Department)
IEP Road, Batasan Complex, Constitution Hills, Quezon
City/ Tel# 9318101-07

(Complete Office Address / Telephone No.)

Name (s) of Immediate Superior (s)

Position Title (s)

Name (s) of Subordinate (s)

Position Title (s)
(per plantilla and organizational hierarchy)

Prepared by:

I hereby certify to the best of my knowledge that the above information are true, complete, accurate and updated.

Signature of Incumbent Official

Printed Name of Administrative/Personnel Officer

Date

Signature

Date