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ADMINISTRATIVE ORDER

No. 11

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SUBJECT: DSWD STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (DSPMS)

I. RATIONALE

In May 2011 His Excellency President Benigno S. Aquino, III issued Executive Order No. 43¹ which described his vision of “a country with a re-awakened sense of right and wrong, through the living examples of our highest leaders; an organized and widely-shared rapid expansion of our economy through a government dedicated to honing and mobilizing our people’s skills and energies as well as harnessing of our natural resources; a collective belief that doing the right thing does not only make sense morally, but translates into economic value as well; and public institutions rebuilt on the strong solidarity of our society and its communities.”

Pursuant to this ideal, his Excellency initiated steps to ensure that service delivery is felt by the common Filipino citizens – the “ordinaryong tao”. Among the steps were the issuance of the following directives:

- establishment of a unified and integrated Results Based Performance Management System (RBPM)² across all agencies within the Executive Branch;
- establishment of a Performance Based Incentive System (PBIS) that will motivate higher performance and greater accountability in the public sector to ensure the accomplishment of commitments and targets under the President’s Social Contract with the Filipino People³ and the Philippine Development Plan 2011-2016.

These directives uphold the tenet espoused in prior directives for performance which is to rationalize and ensure alignment of individual performance to organizational performance to achieve major final outputs and outcomes.

Consistent with these directives, these guidelines describe DSWD’s Strategic Performance Management System (DSPMS) following the themes of alignment, integration, personnel development, results/outcomes focus guided by but not limited to the following systems:

- Organizational Performance Indicator Framework (OPIF) used by the DBM to measure agency performance;
- Results-Based Performance Monitoring System (RBPM);
- Performance Governance System (DSWD Strategy Map);
- Strategic Performance Management System (SPMS)⁴.

¹ Entitled: Pursuing Our Social Contract With The Filipino People Through The Reorganization Of The Cabinet Clusters

² Administrative Order No. 25 s.2011

³ Executive Order No. 43 s. 2011

⁴ Annex 13 of this document is the DSPMS Guidelines that abides specifically to the requirements of the CSC and focuses on the implementation of the SPMS at the Office and Individual personnel levels.

II. LEGAL BASES

The following provides the legal bases for this guidelines:

- A. The Civil Service Commission (CSC) 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:

"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 House of Congress and Senate No. 4, s. 2008 authorized 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 provides the establishment of a performance incentive scheme that integrates individual and organizational performance.
- C. Presidential Administrative Order No. 25 s. 2011 or Creating An Inter-Agency Task Force On The Harmonization Of National Government Performance Monitoring, Information And Reporting Systems in order to establish a unified and integrated Results-Based Performance Management System (RBPMS) across all departments and agencies within the Executive Branch of Government incorporating a common set 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 Memorandum Circular No. 06, s. 2012 or the Strategic Performance Evaluation System (SPMS) focuses on the strategic alignment between the organization's goals and the day-to-day operations of the units particularly to the each individual in the organization. It provides a mechanism that assesses 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 rational and factual basis for performance targets and measures.
- E. Career Executive Service Board (CESB) Resolution No. 1136 s. 2014 or the Guidelines on the Enhanced Career Executive Service Performance Evaluation System (CESPES) focuses on documenting accomplishments and managerial competence of Officials in the agency in the context of the agency's strategic objectives.

III. OBJECTIVES

This Administrative Order is forwarded to achieve the following:

1. **To manage and enhance performance of the Department, Office/Bureau/Service (OBSS), Field Offices (FOs), and individual employees towards the discharge of the Department's mission**
 - a. Use information gathered in office and individual development plans as well as management and decision-making processes towards enhancing office and employee performance.
 - b. Link performance management with other Human Resource (HR) systems to facilitate continuous development, improved capacities and adherence to performance-based tenure and incentive systems;

- c. Encourage a team approach to performance management towards attainment of the DSWD strategic priorities.
2. **To ensure the achievement of organizational outcomes by properly identifying and cascading DSWD priorities and accountabilities anchored on the ability to articulate appropriate performance targets, indicators and measures.**
 - a. Concretize the linkage of the Department's performance with various National and Department-wide plans and policies⁵;
 - b. Provide clear accountability to individuals and OBS for making changes supportive of the DSWD overall strategy; and
 - c. Harmonize the underpinnings and components of existing Performance Management Systems in the Department and;
 - d. Promote greater value for money by focusing management effort and resources on outcomes that advance the agenda of inclusive growth;
3. **To promote organizational agility through rigorous performance monitoring activities, quality assurance and internal audit by allowing the DSWD to purposively seize opportunities and address risks and threats.**
 - a. Develop greater analytic capabilities in its workforce to create, innovate around and apply insights that will drive the contribution to the desired social outcomes for social protection and SWD sectors and their stakeholders;
 - b. Promote greater efficiencies through convergence and judicious use of resources by enhancing service performance levels, driving out wastes, and reducing delivery risks and addressing various partner expectations.
4. **To ensure coherence between strategic objectives, programs/projects, budget, operational plans, and M&E through the cascading of objectives and measures towards efficiency of use of resources.**
 - a. Enable DSWD to control costs by clearly aligning budget to outcomes;
 - b. Ensure resources are focused on activities that will make the most difference; and
 - c. Enable DSWD to execute strategies and priorities or "investment choices" by supporting improved and faster decision-making based on accurate and reconcilable data.

IV. DEFINITION OF TERMS

Cluster Head – refers to the Undersecretary or Official designated to Head the following: General Administration and Support Services Group (GASSG), Institutional Development Group (IDG), Office of the Secretary Group (OSG), Operations and Programs Group (OPG) and the Policy and Plans Group (PPG)

Core Function - refers to programs, activities & projects rooted in an office (OBSUs and FOs) mandate and key result areas.

Developmental Intervention – refers to planned activities and actions that facilitate improvement of capability of individuals and his/her performance.

Evaluation – refers to the objective assessment of the performance of office/personnel with the aim of determining its impact and relevance.

⁵ Philippine Development Plan, the Department's Vision, Mission, Goals, Major Final Outputs, Strategic Plan, DSWD Reform Agenda, Social Protection Framework

Executive Offices – refers primarily the Offices of the Executive Committee (EXECOM) Members that provide overall cluster/group direction and oversight.

Head of Office (HOBS) – refers to the highest ranking official of a DSWD Office/Field Office, Bureau, Service, Cluster and the like.

Individual Performance Contract (IPC) – specifies individual commitment to deliver and be rated on the attainment of the office targets in accordance with the indicated rating measures for a specified rating period.

Key Result (KR) – refers to accomplishment, output/outcome or set of outputs/outcomes being measured and described in terms of quantity, quality and time.

Key Result Area (KRA) - refers to general areas of outputs or outcomes for which the department's role is responsible. For individual employee, it is the core area which each person is accountable.

Harmonized PC – is a document that reflects the priority actions of each of the Department's OBS reflective or indicative of our commitments stated in the DSWD strategy map and Scorecard.

Monitoring – is 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.

Office/OBS – generally refers to Field Offices, Bureaus, Services, Clusters/Groups and other organizational offices that may be created. The acronym OBS shall be used to refer to all of these Offices collectively.

Office Performance Contract (OPC) – refers to the Office commitment to deliver and agree to be rated on the attainment of the Department and Office targets in accordance with the indicated measures for a specified rating period.

Performance Management System (PMS) – refers to a system which 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 rational and factual basis for performance targets and measures.

Planning Tool 1 from the Office of the President – refers to the tool which was adopted by the Inter-Agency Task Force on AO 25, s. 2011. It highlights the list of priorities (activity/programs/projects) consistent with the PDP and Major Final Outputs (MFO) submissions. This forms part of the committed deliverables to the President through individual Performance Contract Agreement.

PMS Focal Person – refers to the staff designated by the HOBS to support the implementation of the DSPMS in coordination with the PMT Secretariat.

PMT Secretariat – refers to the Human Resource Development Bureau (HRDB) and Policy Development and Planning Bureau (PDPB) in the Central Office and their counterpart in the Field Offices. They are responsible for facilitating the SPMS at the individual and office level, respectively. The Secretariat works closely with the Office of Strategy Management (OSM).

Ratee – refers to the employee/official whose performance is to be evaluated or assessed.

Secretary's Directives – these are direct instructions from the Head of Agency to the concerned OBS/FO.

Strategic Offices – refers to Key Units that directly contribute to and facilitates the attainment of the Agency's Strategic Goals and Initiatives

Strategic Priorities - are ranked organizational objectives and goals.

Success Indicator- refers to quantifiable measurements agreed to beforehand that describes the critical factors of the Unit/Individual Performance

Superior Rater – refers to the immediate supervisor tasked to evaluate or assess performance or accomplishments of the Ratee.

Support Offices - refers to Offices that have no immediate impact to the SGs and MFOs but are critical to the achievement of the SGs and MFOs.

360-degree feedback - also known as **multi-rater feedback, multi-source feedback, or multi-source assessment**, is assessment that comes from the subject employee (self-assessment) and members of his/her immediate work circle, i.e. subordinates, peers (colleagues), and supervisor(s).

V. DSPMS Framework

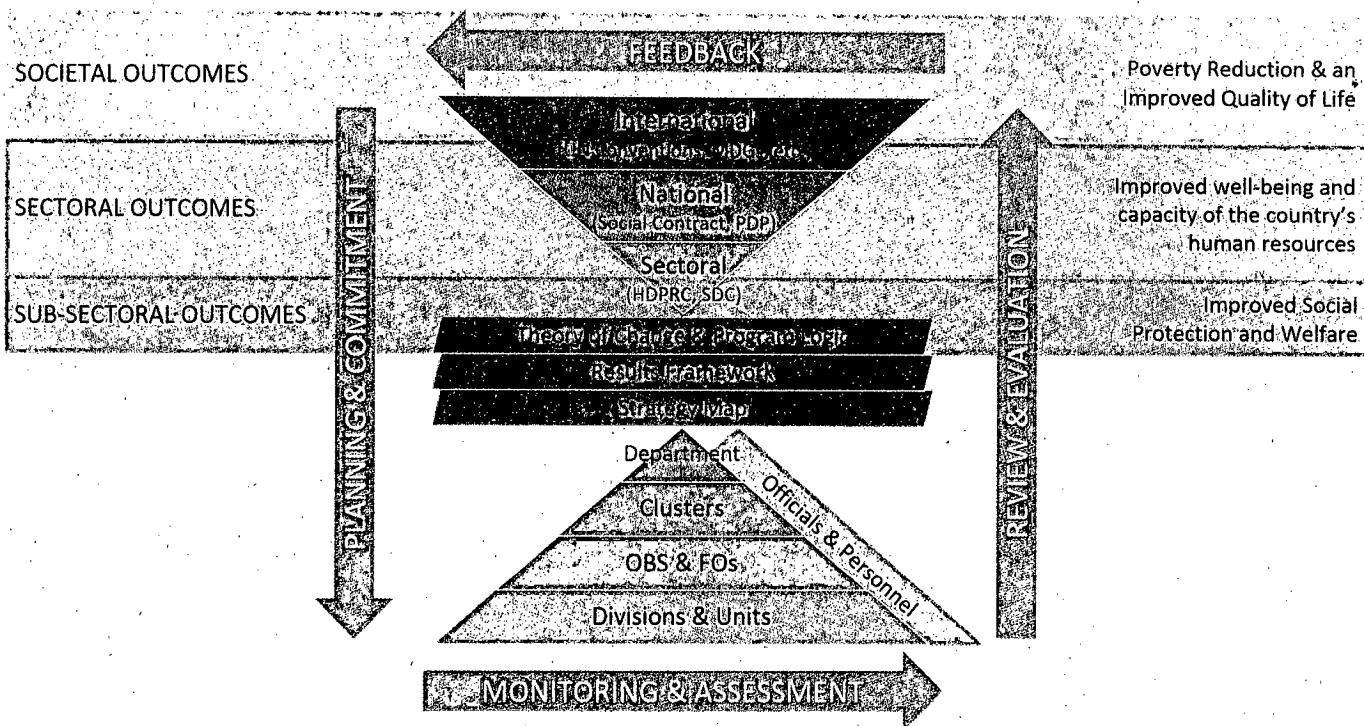
The Department is guided by the CSC's strategic performance management system (SPMS) guidelines which describes the SPMS as a set of processes for establishing a shared understanding of:

- what will be achieved (goals)
- how they will be achieved and
- managing people in a way that will increase the probability that it will be achieved.

The DSPMS is thus a mechanism to guide the Department to view the organization, its offices, units, and personnel as part of an open system – performance management means taking into account the situation/context of the Department internally and externally to plan, monitor, drive, and enhance performance at all levels.

The following diagram illustrates these contexts and the process of performance management at the Departmental level:

Figure 1. The Organizational DSPMS Framework



This framework illustrates the holistic and pertinent components of performance management in the DSWD. These are:

- 1) The **core performance management processes**: (depicted by four the arrows in a cycle) these are the planning and commitment stage, the monitoring and assessment stage, the review and evaluation stage, and the feedback stage, which should feed into the cycle as an iterative process;
- 2) The **contexts**: (upper triangle) are higher level outcomes that the Department aims to contribute to according to our mandate. The Department contexts consist of the international, national, and sub-national that are at the local, sector as well as sub-sector levels)
- 3) The **strategy tools**: (middle bars between the two triangles) guides the Department in determining what we would want to contribute to and how. This is where performance accountability is defined taking into account both its internal and external context before cascading it to operational levels of the Agency. The strategy tools are the following:
 - a. **Theory of change and Program Logic** to determine how we expect change to occur given our context
 - b. **Results Framework** to determine how we map out expected outcomes
 - c. **Strategy Map** to determine how we filter our priorities
- 4) The various **levels in the Department**: (lower triangle) the Department's Executive Committee and Management Committee, Clusters, OBS & FOs, Divisions, Services, Units, teams/work groups that carry out the mandate of the Department based on the strategy tools. Department personnel, i.e., staff members and officials, shadow this pyramid to explicitly present that individuals drive unit performance.

This framework shows that the Agency must to be able to respond to changes in its internal and external context by assimilating the lessons from monitoring and evaluation phases and redefining its own context to be adaptive, responsive and relevant in its delivery of programs and services.

Figure 1 represents performance management at the Departmental level; however, the Department also needs to zoom into performance management at the office (sub-agency) and individual levels as this is where operations and service delivery towards the higher level outcomes are carried out.

Parallel to the Departmental DSPMS Framework in Figure 1, the Performance Management Cycle has four phases: (a) Performance Planning and Commitment; (b) Performance Monitoring and Coaching; (c) Performance Review and Evaluation, (d) Performance Rewarding and Development Planning. For an overview of the DSPMS cycle, please see Annex 12.

VI. THE PERFORMANCE MANAGEMENT PROCESS

A. PHASE 1: THE PLANNING PROCESS (Performance Planning and Commitment)

DSWD's planning process is a system that demands tight convergence attitude and approach among the different units in DSWD because interoperable mechanisms need to be in place to enable a purposeful and realistic targeting of the OBSUs and individuals. For the Department, the planning process must begin with a review of its context (internal and external) to determine the inputs needed for the planning process. The planning mechanisms then begin with the Department-level strategic planning at the Executive Committee and HOBS level. Operations planning at the office level then ensues followed by individual planning. These three levels of planning cascade their outputs as inputs for the succeeding levels.

1. CONTEXT SETTING

There are pertinent international, national, and subnational commitments that the Department is a part of and therefore has to consider in developing its Agency plans. These include various international treaties and agreements as well as national plans committed to the protection and promotion of social rights and welfare of the Filipino people. These agenda are as follows but are also detailed in Annex 1:

a. International Commitments

i. International Treaties and Conventions

The Philippine government is a signatory to several international treaties and conventions that calls for the fulfillment of the rights of children, youth, women, persons with disabilities, senior citizens and families (a list of the pertinent commitments are found in Annex 1). These commitments are then translated into national laws/policies which are correspondingly articulated into national plans. Specific roles and responsibilities of the concerned agencies as embodied in the national laws/policies are reflected in the national plans which are likewise translated into a Department's sectoral plans.

ii. Millennium Development Goals

The Millennium Development Goals are international development goals established by the United Nations and signed/followed by its member countries. The Philippines, as one of the signatories in the United Nations Millennium Declaration shall continue to achieve its Millennium Development Goals (MDGs) in the areas of poverty reduction and human development through broad and strategic partnerships among all concerned stakeholders, especially the local government units (LGUs). The DSWD as the lead agency in social protection shall directly respond in the attainment of the Philippine MDGs specifically on Goal 1: Eradicate extreme poverty and hunger and Goal 4: Reduce Child Mortality.

b. National Commitments

i. Philippine Development Plan/President's Social Contract with the Filipino People

In line with its commitment to accountability and effective governance, the Department is focused on achieving the outputs and outcomes of the President's Social Contract with the Filipino People and the Philippine Development Plan (PDP). Through the programs and projects committed by the Department to the PDP, DSWD envisions the attainment of the goals of achieving rapid growth and inclusive development for the medium term drawing the majority of the people into the economic and social mainstream.

ii. Major Final Outputs (MFOs) and Performance Indicators (PIs)

The Department of Budget and Management (DBM)'s National Budget Circular (NBC) 532 s. 2011 or the Guidelines on the Review of Major Final Outputs (MFOs) and Performance Indicators (PIs) and Restructuring of Programs, Activities and Projects (PAPs) issued on November 28, 2011 provides the basis for all government agencies to define their MFOs, PIs and PAPs.

MFOs are public goods and services that the Agency is mandated to deliver to external clients through the implementation of its PAPs. The Department MFOs are as follows:

- MFO 1 - Social Protection Policy Services
- MFO 2 - Social Protection Services
- MFO 3 - Capacity Building Services
- MFO 4 - Regulatory Services

MFOs and the associated PIs are used as basis in the preparation of the DSWD's commitments to the PDP, Annual Budget Proposal, Work and Financial Plans, and Organizational Performance.

iii. National Laws/Policies and National Sectoral Plans

The Department takes into consideration and ensures implementation of programs, services and projects in compliance with national laws/policies and plans for the vulnerable sectors (children, youth, women, persons with disabilities, senior citizens and families). For a listing of these policies and plans, please see Annex 1.

iv. The DSWD Mandate, Vision, Mission and Goals, Reform Agenda and DSWD Strategic Goals

The DSWD Vision of 2030 is a society where the poor, vulnerable and disadvantaged are empowered for an improved quality of life, and towards this end, become the world's standard for the delivery of coordinated social services and social protection for poverty reduction. The DSWD Mission is to develop, implement, and coordinate social protection and poverty reduction solutions with and for the poor, vulnerable, and disadvantaged. These are translated through the Strategy Map consistent with its Corporate Plan, and Strategic Goals.

The three (3) Strategic Goals for 2014-2016 are the following: 1) Improve the capacities of 2.3 million Pantawid Pamilya in accessing opportunities to improve their level of well-being by 2016; 2) Increase the no. of NHTSPR identified poor families covered by at least 2 SWD programs from 3.9 M to 5.2 M by 2016; and 3) Increase the no. of provinces and majority of their municipalities/cities having a fully functioning LSWDO to 40 by 2016. The SGs are time-slices of the long-term vision of the DSWD.

v. Annual DSWD Thrusts and Priorities

The DSWD Thrusts and Priorities, issued annually, shall guide and direct all DSWD Bureaus, Services, National Project Management Offices, and Field Offices in the formulation of their respective budget proposals/work & financial plans, performance contracts, sectoral & operational plans and relevant initiatives for the given period. Corresponding funds shall be allocated to ensure its implementation.

vi. Social Protection Development Report (SPDR) with its link to the Social Protection Vulnerability and Adaptation Manual (SP VAM)

This report contains data/information on the current SWD issues and problems, as well as the economic situation in focus regions/areas/communities. The vulnerabilities and risk assessment from the SP VAM form part of the SPDR, and in this way, enables the Department to map out areas for actions/interventions related to social protection within the region/municipality. The SPDR should be maintained as the primary basis for the formulation of the national and regional operational plans as well as sectoral plans, and the development of policies and programs, among others. As mandated by AO No. 7 s. 2011, the SPDR shall be formulated every three (3) years by the FOs and LGUs and may be updated annually when relevant information are available.

2. STRATEGY DEVELOPMENT

Figure 2. The Four-Stage Strategy Development Process⁶

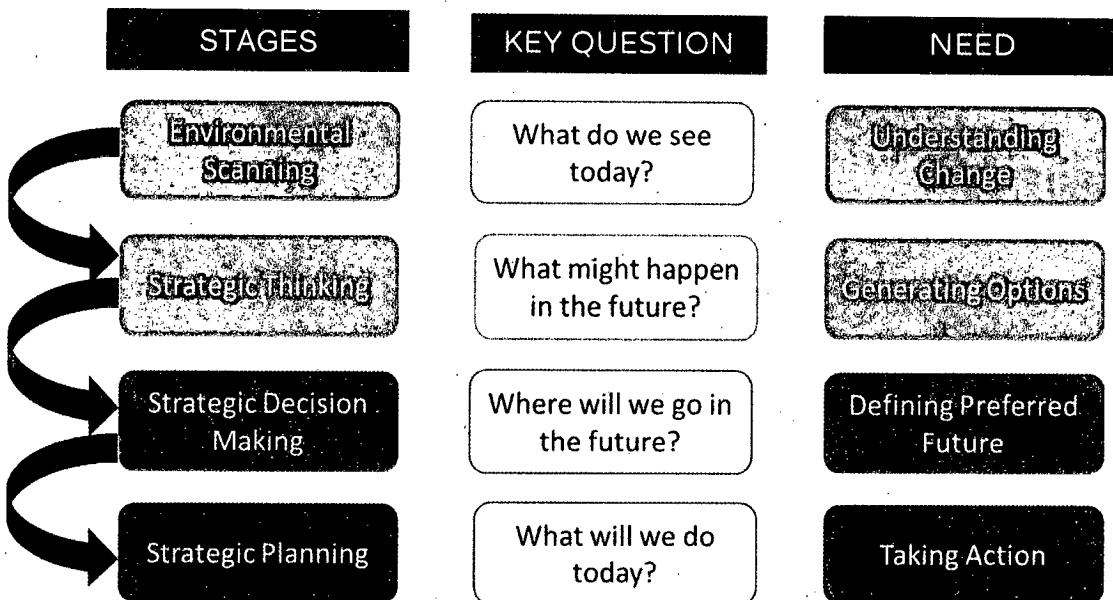


Figure 2 shows the stages in strategy development. The initial step in developing strategies is doing an **environmental scan** where information about events, trends, and relationships in the Department's external and internal environment, is understood and used to assist in planning the Department's future course of action—ensuring that social protection solutions delivered continue to be relevant and responsive. Scanning focuses on identifying what might be important in terms of what social protection could be like in the future, gathering information and data to test that thinking, and exploring beyond mainstream or conventional/status-quo thinking to identify emerging issues and potential surprises in future operating environments that are likely to have an impact on our services.

Major drivers of change that are likely to have an impact on the Department's strategy have to be considered such as the following:

- social protection in the country and global trends affecting it
- social protection services, its delivery, and how they might evolve
- current and future clients, and how their expectations might change
- issues that are likely to affect current workforce
- emerging and converging technologies, and
- emerging shifts in what is 'business as usual'

The analysis resulting from the scanning should inform the Department about the possible alternatives or plausible futures to embark on—generating a set of **strategic options** from where we could **choose our desired future or outcomes**. By systematically delving into what the future may bring and examining deeply held assumptions about it, we are more primed in establishing what is relevant for the Department.⁷

Strategic planning comes at the end of the strategy development process after the overall direction and performance of the Agency has already been defined. Its success is determined by how well the Department stewards its tangible and intangible resources, how it rallies and

⁶ Conway, M. (2012). *Doing Environmental Scanning: An Overview Guide*. Thinking Futures.

⁷ Ibid.

aligns all of its units towards its goals and how it transforms the organization in the process as it focuses on delivering these results over the medium term (3-5 years).

Strategic planning includes the development of the Agency's Strategy Map and Scorecard as well as the Department's Overall Results Framework. The Agency's Strategy Map plots out the Department's medium term plan and Strategic Goals. The Scoreboard in turn guides the Department in measuring and monitoring its performance towards the Strategic Goals, and the Overall Results Framework is the tool that explains how the Department aims to achieve its goals. How each of these tools are developed as part of Strategic Planning is discussed as follows.

a. Development of the Overall Results Framework (ORF)

The use of ORF as the main tool in monitoring and evaluation (M&E) is based on the principles of results-based management where results-based M&E is an important component.

The Development of the ORF is a result of a series of activities spearheaded by the PDPB. It starts with the conduct of a situational analysis and/or a review of related literature such as the Social Protection Development Report, Program Review and Evaluation Workshop (PREW) Results, and the Socio-economic Report of the Philippine Development Plan, among others. Thereafter, consultation-workshop with the Composite Monitoring and Evaluation Team or CMET (composed of the M&E Focal Persons of the CO-OBSUs and FOs) is conducted to gain relevant inputs and insights for the drafting of the ORF. The resulting draft ORF will be further enhanced through a series of validation meetings and workshops before it will be submitted to the MANCOM/EXECOM for approval. The approved ORF will be disseminated to Field Offices, and OBSUs to be used in the formulation of their respective Results Framework.

b. Development of the Agency Strategy Map and Scorecard

When outcomes towards the greater whole or society have been defined, clear-cut Strategic Goals expressing the specific measure of success of the Department after a specific period of implementation will be deliberated on by the EXECOM and then validated by the MANCOM. After this process, the new Strategy Map and Agency Scorecard will be formulated by the DSWD Directors together with union representatives, among others. The OSM shepherds the strategy to sustain efforts of achieving these outcomes; ensuring that strategy is translated into operations.

3. OPERATIONS/OFFICE PLANNING

This stage refers to the preparation of the Office Performance Contract (OPC). Planning sessions to craft the DSWD Corporate Plan shall ensue using the Overall Results Framework and the DSWD Strategy Map and Scorecard as basis for a five-year plan detailing key priorities of the agency which will be supported by the corresponding programs, activities and projects. The Medium-Term Expenditure Plan (MTEP) provides the programming of required resources to implement the priorities in the medium-term Corporate Plan. The Annual Thrusts and Priorities of the Department will emanate from the Corporate Plan and other emerging developments. Throughout the planning sessions, the external and internal context of the unit, office, and Department should always be taken into account in order for the DSWD to be responsive in addressing any identified gaps.

The Department's Harmonized list of Performance Contract (Harmonized PC) Indicators shall ensue from the Agency Scorecard, ORF, Corporate Plan, Reform Agenda, Strategic Goals, and other planning tools used by the Department. The Harmonized PC shall detail all critical key result areas, performance targets, and corresponding success indicators that will be required of each OBS for DSWD to deliver results.

Each OBS and FO shall then craft their respective OPC based on the approved three-year priority plans in the Corporate Plan and the MTEP, supported by the approved Work and Financial Plan (WFP) and Annual Thrusts and Priorities. These will also serve as the basis for the crafting of their core functions with measures indicated in the Masters PC.

The units under the OBSU/FOs shall then craft their respective division's PC based on the approved OPC. In the preparation of the OPC, a prescribed template shall be accomplished by each office containing the three (3) Key Result Areas namely: Strategic Priorities, Core Functions/Other KRAs, and Secretary's Directives. Corresponding success indicators shall be formulated together with the allotted budget and the accountable Division/Individuals are to be reflected (Please refer to the Annex 3 for a template of the OPC).

The OPC shall be approved by the following authorities:

Table 1. Approving Authority for OPC/R

Proponent	Approving Authority
EXECOM Offices (Offices of the Undersecretaries and Assistant Secretaries)	Department Secretary or designated representative of the Secretary
FOs	Department Secretary or designated representative of the Secretary
CO Office/Bureau/Service	Cluster Head (Undersecretary) or designated Assistant Secretary/representative

4. INDIVIDUAL PLANNING

This refers to the preparation of the Individual Performance Contract (IPC). From the approved OPC and WFP of the OBS, cascading of performance targets shall be planned by each Official and staff. These targets should then be reflected in their Individual Performance Contract (IPC).

- a. **For Officials** – Officials' IPC shall be distinct from their OPC. Their IPC contains their specific commitments for which the Official is solely responsible and accountable to ensure Office targets are met, and, should highlight their inherent leadership and managerial role as the Head of Office. The template for the Officials' IPC is found in Annex 4.
- b. **For Rank and File Employees** – performance targets shall be based on the office priorities in the approved OPC and their mission or critical functions/tasks. IPCs highlight personnel's mission - critical outputs according to their roles/functions/terms of reference for which he/she is designated and responsible for. Please refer to Annex 5 for the IPC template. All personnel who have rendered at least three (3) uninterrupted months of service in a particular office are required to submit an IPC.

The IPC of both Officials and Rank and File Employees shall be approved by the following authorities:

Table 2. Approving Authority for Officials' and Rank and File Employees' IPC

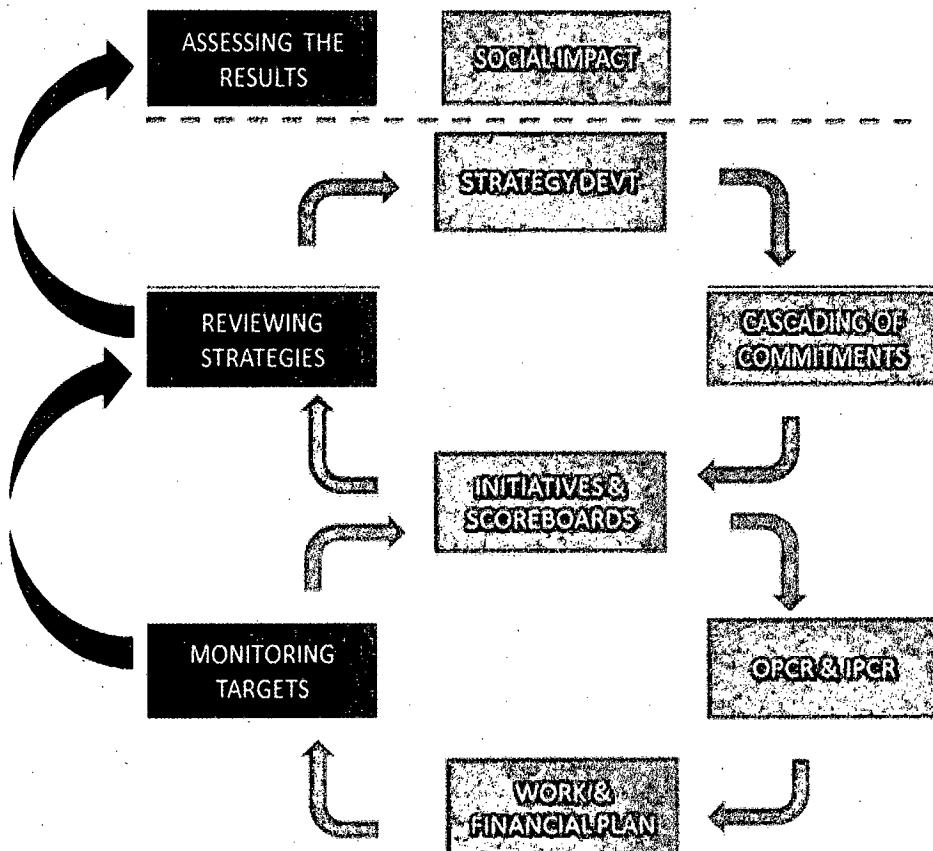
Official/ Ratee (including OICs)	Recommending	Approving
	Officials	
Undersecretaries	-	Secretary
Assistant Secretaries	Cluster Head/ Undersecretary	Secretary
Regional Directors	-	Secretary
CO HOBS	Assistant Secretary and	Secretary

	Undersecretary	
CO Assistant Director or equivalent (designated as Assistant Bureau Director or Deputy Program/Project Managers)	-	HOBS
Assistant Regional Director	-	Regional Director
Executive Directors (Attached Agencies)	Undersecretary	Secretary
Rank and File		
Division Chief	Immediate Supervisor/Assistant Director, if any	Director/Head of Office
Other Rank and File (administrative and technical staff)	Immediate Supervisor (Unit Head/Division Chief/OIC)	Director/Head of Office

B. PHASE 2: IMPLEMENTATION AND MONITORING PROCESS (Performance Monitoring and Coaching)

The Department uses a double-loop process in its monitoring of results and the implementation of strategies. Figure 3 below depicts this. Double-loop monitoring comprises of the assessment and reassessment of not just the Department's operations and processes alone but also its strategy implementation. Exercises such as reports to oversight agencies (a list of reports currently being submitted to oversight agencies can be found in Annex 11.), PREW, internal audits are avenues that allow this. Through this, the Department constantly monitors physical targets that affect medium-long term strategies and goals. In turn, this monitoring process enables the Department to see if these strategies and goals are all attuned towards the Department's larger desired outcomes for the society or if they need to be re-evaluated and revised.

Figure 3. Double-Loop Process of Evaluating Organizational Performance



The results of the monitoring are fed back to pertinent offices and officials at the sub-organizational level via the Performance Checkpoint. The PC checkpoints are sessions to discuss the progress of each OBS' and FOs' plans that highlight good practices and areas for improvement which in turn serve as basis to provide technical assistance, coaching/mentoring to ensure that targets/optimal performance are achieved.

The double-loop process reinforces constant communication/feedback of results among offices that anchor the agency ORF and strategies, via the checkpoints. The OPCR and IPCR are monitored by the PDPB and the HRDB respectively, the Work and Financial Plan is monitored by the Financial Management Service (FMS), and the Strategy Map and Scoreboards by the OSM. The OSM and PDPB then check the alignment of each OBS' plans and PAPs to the Department's ORF. Ultimately this facilitates a dynamic team approach to the entire monitoring process of the Department and allows it to be ever responsive to the needs and demands of its beneficiaries and other stakeholders.

1. Monitoring for Results

The URBMES, following the principle of Management for Development Results (MfDR), recognizes the inherent value of monitoring the objectives set in the organization's Results Framework to ensure that applicable management actions will be conducted to guarantee the achievement of the targets. This concept is concretized by the yearly submission of the Overall Monitoring and Evaluation Plan⁸ under the M&E Phase of the System. The M&E Plan Form reflects the targets of the Department compared against its actual accomplishments. This creates a picture of the current status of the organization in terms of accomplishing its objective and also allows the user, through the approval of the Secretary, to revise targets if the situation calls for it.

2. Monitoring Strategy Implementation

a. Initiatives Monitoring

Strategic initiatives are critical support projects that are expected to address performance gaps. Each strategic initiative has an initiatives profile that indicates its project owners, milestones, strategic objectives and measures that it aims to respond to, and a short description of the project. The OSM is primarily responsible for monitoring all strategic initiatives of the Department to ensure that they are regularly and actively progressing towards the achievement of the Agency scorecard.

The initiatives owners are responsible to initiate design and facilitate completion of these projects. OSM oversees and coordinates with the strategic offices/process owners to ensure that these initiatives have sufficient budget/resources, priority and focus. The OSM particularly monitors initiatives that are lagging behind or are not delivering results. They then make recommendations to initiative owners on how to address implementation gaps, if any, and compiles these updates into a report that is submitted to the EXECOM every quarter. These initiatives are reflected in the WFP of all OBS and FOs.

b. Scoreboard Monitoring

Apart from the strategic initiatives, the major stake of each OBS and FO to the strategic goals or strategic objectives of the Department is defined by its annual breakthrough goals accompanied by its lead measures that when weaved together is known as the Scoreboard, and which is incorporated into the OPC.

Each unit is tasked to define and maintain their unit scoreboard through their OPC. Accountability from the different units of the Department is made through monthly submission of Scoreboard Updates to the OSM that features progress of strategy execution within their level. The movement of

⁸ The Overall M&E Plan is submitted every 15th of March of the initial year of the plan period and revised/submitted on an annual basis. On the other hand, OBS/FO M&E Plan is every 30th of March of the initial year of the plan period and revised/submitted on an annual basis

scoreboards is then reported to the EXECOM and the DSWD Multi-Sectoral Governance Coalition (MSGC).

c. Performance Checkpoints

Performance checkpoints are conducted to look at the extent of accomplishment of the targets that were committed in their OPC and IPCs. 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 extent by which plans are being met. Similarly, personnel will set a meeting with direct supervisor with the similar intent. Challenges that adversely impact or are delaying 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. Aside from performance monitoring, the checkpoints can also be a venue for sharing good practices and knowledge among OBS and FOs.

All these monitoring methods complement rather than duplicate each other. The monitoring of the PGS through Initiatives and Scoreboard monitoring as well as the Performance Checkpoints, are **internal** in nature. The process ensures the achievement of the Strategic Goals by emphasizing accountability and closing of the performance gaps of the DSWD and OBSUs. On the other hand, the URBMES monitoring is **external** as the system emphasizes the tracking of improvements on the beneficiaries (direct or contributory) caused by the activities and outputs of the DSWD. The Department's entire monitoring system, therefore, provides a holistic picture of how the DSWD progresses internally and externally to achieve the results.

C. PHASE 3: THE EVALUATION PROCESS (Performance Review and Evaluation)

1. Overall Assessment (Evaluation of the Overall Results Framework/ORF)

All of the accomplishments reflected in the ORF, as a result of the monitoring process, are subjected to an evaluation process to determine their impact. The process enables the Department to identify whether the achievement can be considered as a fully accomplished target or not and to articulate the factors that contributed to the result. Based on the evaluation of results, the Department could then carry out corrective action, re-planning or cancel/terminate/replace the objectives reflected. The Overall Assessment Report⁹ systematizes the aforementioned process by directly reflecting the categories of the achievement of the DSWD's Results Framework accompanied by a narrative and recommendation.

2. Strategy Review (Assessment of the Agency Strategy Map and Scoreboard)

An assessment of the Agency Strategy Map and Scorecard is conducted through strategy review meetings. Strategy review is a management mechanism facilitated by the OSM and involves the EXECOM. It examines the key strategic issues related to the rationale, relevance, effectiveness, and viability of strategies in order to fine-tune them and make midcourse adaptions as necessary. The strategy review takes into account current and emerging developments and challenges in the internal and external context of the Department as a basis for sound and informed decision-making.

Major changes in the internal and external environment for each OBS, FO, and for the whole Department should lead to the refresh or change of strategies that are found to be not working effectively. Other strategies are then explored based on emerging ideas coming from the strategy

⁹ Submitted every 30th of July of the current year and 30th of January of the following year. OBS/FO Assessment Report is submitted every 15th of July of the current year and every 15th of January of the following year.

review meetings. Recommending a strategy refresh may be done by the OSM, MANCOM, EXECOM or the Secretary.

3. Performance Review and Evaluation (PRE)

This is the stage in which accomplishments are evaluated based on the identified commitments during the planning process and given appropriate/corresponding scores. The output of this process are performance ratings agreed upon by a subject official and superior rater(s).

The PMT provides the direction on how the performance evaluations will be done. There are three (3) levels to performance review and evaluation: Department, office/OBSU, and individual levels.

a. DEPARTMENT Level Review & Evaluation

An overall agency performance review shall be led by the PPG and GASSG for the purpose of discussing the general agency accomplishments along with physical and fiscal targets. The basis shall be the performance measures set by oversight agencies and the collective performance of OBS.

The overall performance review shall follow the evaluation processes that were earlier discussed in the section above (Impact Evaluation and Strategy Review). In addition, the performance rating of the Department shall be based on the Planning Tool 1 submitted to the Office of the President.

b. OFFICE/OBSU Level Review & Evaluation

i. For Field Offices

Following the conduct of internal assessment and the Program Review & Evaluation Workshop (PREW), the Regional Director or the Designated Officer-in-Charge of the Field Office will undergo performance evaluation with a Panel chaired by the Secretary or his/her duly authorized representative. The Panel shall be composed of the following:

- 1 Representative from each Cluster (Undersecretary/Asst. Secretary)
- 1 Representative from the Performance Management Team
- Regional Program Manager (for FOs)

The HOBS or their designated representative will also be required to attend the deliberation. The basis for the assessment shall be the approved OPC or the approved and adjusted PC as a result of the Performance Checkpoint.

1) Pre-Evaluation

1. The schedule of the performance evaluation shall be set by the Office of the Secretary in coordination and with the assistance of PDPB as the OPC Secretariat.
2. Prior to their schedule, the FO shall rate their OPC using the 1-5 Rating scale
3. The PDPB shall furnish copies of the FO OPCs to all OBS and request them to prepare their scorecard for the Field Offices.
4. Each OBS responsible for monitoring the accomplishment of OBS and FOs for specific KRAs in the Harmonized PC shall prepare their scorecards and, using the performance measures of quantity, quality, and timeliness, shall provide ratings for all FOs.
5. In the scorecard, OBS who will serve as raters will specify the target being monitored, the actual accomplishment of the FO, their proposed rating, and the rationale behind the rating.

2) FO OPC Review & Evaluation Session

1. The Secretariat shall open the session by reading the ground rules, introducing the participants and responding to any questions that may be asked about the process. After which, the floor shall be given to the HOBS.

2. The Ratee/RD/OIC shall present to the Panel their performance targets, actual accomplishments and own rating of their FO.
3. The Rater/Coach-Monitor may require the Ratee to identify the FO's best, good, and problematic areas of performance and may request evidence to support their rating of their FO.
4. The Panel members and HOBS present may ask for clarifications/verifications of the accomplishments or the evidence presented.
5. The Ratee may request deferment on the rating if the evidences/documents are not available. Said evidences/documents must be submitted to the panel and the OPC/R Secretariat within one week.
6. The Panel and Rater/Coach-Monitors shall take note of areas of concern and respond to issues raised accordingly and/or ensure that these are addressed for the next performance rating period.
7. The Rater and Panel Members shall come up with or agree on ratings in the OPCR and approve it by affixing their signature.

ii. For Central Office- Heads of Bureaus/Services/Units

Following the conduct of internal assessment and Program Review & Evaluation Workshop (PREW), the Head of the Office or the Designated OIC of the Bureau/Service will undergo a performance evaluation with the Cluster Head as the Rater. Other Officials (Asst. Bureau Director, Division Chiefs and other Technical Staff of the Bureau) may also attend the evaluation session.

1) Pre-Evaluation

1. The schedule of the performance evaluation shall be set by the Cluster Head with the assistance of the PDPB as the OPC PMS Secretariat.
2. Prior to their schedule, the OBSU shall rate their OPC using the 1-5 Rating scale
3. All HOBS shall prepare his/her OPCR with self-rating and email this to the PDPB 2-3 days before the session for their review.

2) CO OBS OPC Review & Evaluation Session

1. The HOBS/Ratee shall provide an overview or situationer of his/her office (e.g., on its staffing, budget allocation, difficulties encountered in the office, etc.)
2. The Ratee shall present to the Rater their performance targets, actual accomplishment and own rating of their OBS.
3. The Rater may ask for clarifications or means of verification (MOV) for the reported accomplishments in order to come up with a final score for the accomplishment.
4. Other Officials/Technical Staff of the Office present in the session may respond to clarifications requested by the Rater.
5. The Rater shall take note of areas of concern and respond to issues raised accordingly and/or ensure that these are addressed for the next performance rating period.
6. The Rater shall approve the OPCR of the Ratee by affixing his/her signature.
7. The OPC Secretariat shall provide each OBS and the HRDB the final OPCR rating for reference.

Performance evaluation of the Offices shall be completed not later than March of the succeeding performance period.

c. INDIVIDUAL LEVEL

PRE for staff shall be completed within the first quarter after each rating period. The Employees shall accomplish the IPCR (Please refer to Annex 9 for the template) by providing actual accomplishments and include a self-rating based on the rating scale shown in Table 3. The IPCR process of Officials will be different from those of Rank and File employees.

1. Officials (Director IV and above)

Performance shall be based on two (2) components, the "functional" or results part which is captured in the IPCR and "behavioral" part which shall be captured by a Competency Assessment Tool (CAT) or behavioral tool designed for the purpose.

A one-on-one IPCR PRE session shall be conducted between the Officials and the Secretary or the Secretary's representative in the case of RDs and Undersecretaries, and Cluster Head for the case of Bureau Directors. The following lists the major steps for the IPCR PRE Session:

1. The Secretary or Cluster Head shall set the schedule of the IPCR session of the Heads of Offices within his/her Cluster.
2. Prior to the session, the following must be accomplished:
 - a) IPCR (self-rating - to be accomplished by the Official)
 - b) Behavioral/Competency Assessment (360-degree feedback - to be accomplished by the ratee, the ratee's superior, peers, and subordinates)
3. The PRE session will then be held with the Secretary/Cluster Head or designated representative reviewing accomplishments in the IPCR, providing guidance to the Ratee, and giving the final rating. If the Official-Ratee does not agree with the rating given, he/she may negotiate with the Rater during the session and provide MOVs to support the rating being claimed
4. Once a final rating has been reached, the Office of the Secretary will then submit the results to HRDB for the finalization of ratings.

ii. Assistant Directors and Rank and File

Assistant Directors and Rank and File must accomplish their IPCR as follows:

1. The Ratee (Assistant Director/employee) shall accomplish the "Actual" part of the IPCR using the 1-5 Rating Scale to come up with a self-rating.
2. The immediate supervisor shall assess individual employee performance based on the commitments made in the IPC or adjusted IPC. Performance ratings shall be based on records of accomplishment.
3. The employee's assessment shall be discussed by the immediate supervisor with the Ratee prior to the submission of the IPCR form to the Rater (HOBS) who shall determine the final assessment based on proof of performance.
4. A copy of the completed/approved IPCR shall be submitted to the PMS focal for CO and HRDU for FO, for their consolidation in the Certification of Final Performance Ratings.
5. The Certification of Final Performance Ratings shall be submitted by the PMS focal persons and/or HRDU to the HRDB for records purposes. It shall be used as input/basis for promotions, capability building needs, rewards (PRAISE, PIB, PBI, PBB)

Performance ratings are required for those who have rendered at least three (3) uninterrupted months service in a particular office. In case of multiple reassignment due to promotion or transfer, staff IPCR shall be concurred by the different immediate supervisors where he/she was assigned during the rating period. For personnel with supervisors who retired, were reassigned or for some reason could NOT rate the staff's performance, s/he shall be rated by designated Officer-in-Charge based on the means of verification.

All personnel who get a performance rating of Unsatisfactory and below shall be informed in writing by the immediate supervisor or Rater. Failure to inform their subordinates in writing/email for their unsatisfactory or poor performance immediately after the rating period shall be grounds for administrative offense.

• Performance Rating

1. For OPCR and Officials' IPCR, the following shall be the weight allocation per section

Table 3. Weight Allocations for Officials' OPCR and IPCR

Areas/ Sections	FOs (%)	Strategic Offices (%)	Support Offices (%)	Executive Offices (%)
OPCR				
Strategic Priorities	50	50	35	35
Core Functions	35	40	55	40
Secretary's Directives	15	10	10	25
Official's IPCR				
Strategic Priorities	50	50	35	35
Core Functions	35	35	50	35
Leadership & Managerial Competencies	15	15	15	30

Note: The above weight allocations may be changed upon the recommendation of the PMT.

2. For **rank and file employees**, no weight allocation is currently required as employees are being rated solely on their performance based on their results and accomplishments of IPC targets.

The following table shows the 1-5 rating scale and each numerical score's value.

Table 4. 1-5 Rating Scale for OPC/IPC Evaluation

Numerical Rating	Adjectival Rating	Description
5	Outstanding	<p>Performance represents an extraordinary/exceptional level of achievement and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance should have demonstrated exceptional job mastery in all major areas of responsibility. Employee achievement and contribution to the organization are of marked excellence which far exceeds the expectations; has extended beyond the assignment, and accomplishment is considered a model for excellence or best practice.</p> <p>Performance met expectations by 101% and above the planned targets.</p>
4	Very Satisfactory	<p>Performance fully met the required standards/expectations in all areas. All targets were achieved. Output is effective and efficient. Performance met expectations by 76% - 100% of the planned targets.</p>
3	Satisfactory	<p>Performance met required standards and expectations in terms of quantity, quality and timeliness in most areas. Output is acceptable.</p> <p>Performance met expectations by 51%-75% of the planned targets. However, if it involves deadlines as required by law, it should be 100% of the planned targets.</p>
2	Unsatisfactory	<p>Performance does not consistently meet expectations/targets. Output needs improvement. Only a few critical goals were met and would require close supervision by direct supervisor in the next rating period.</p> <p>Performance only met 26% to 50% of the planned targets and failed</p>

		to deliver one or more critical aspects of the targets.
1	Poor	Performance was consistently below expectations, and/or unjustifiable. Progress towards critical goals were not made. Significant improvement is needed in one or more important areas. Performance is only 25% and below of planned targets

Note: Not all performance accomplishments need to be rated along all three dimensions of quality, quantity, and timeliness. Some accomplishments may only be rated on any combination of two or three dimensions. In other cases, only one dimension may be sufficient. There should be consideration of all the elements listed above in each dimension to determine how performance will be rated.

Performance rating for accomplishment shall be determined by getting the average scores for Quantity or Efficiency, Quality, and Timeliness or as justified by the ratee using the 1-5 rating scale.

For OPCR and Official's IPCR. To get the Weighted Average rating of the Sections/Areas, the Total Average rating shall be multiplied by the weight of the Section.

For Rank and file IPCR. The sum total of all the ratings under the Average Rating column of the IPCR shall be computed to obtain the Final Average Rating.

- **Rating Period**

OBS performance evaluation (through OPCR) shall be done annually and must be submitted to PDPB and FO counterpart within the first quarter of the following year. Individual performance evaluation (through IPCR) of all personnel shall be done annually and must be submitted to HRDB for CO and HRDU for FO by the end of the first quarter of the following year.

Performance checkpoint shall be done on a biannual basis/once every six (6) months or as need arises.

D. PHASE 4: UPDATING THE CONTEXT PROCESS (Performance Rewards and Development Planning)

1. Department and Office Level.

a. Updating the Context.

At the Department and Office levels, an environmental scanning shall be performed wherein the internal and external context are re-assessed to identify and analyze any factors or events that may affect the Department's operations or performance. The resulting analyses of this process then feed into the performance planning cycle for the next year as inputs to strategy development.

Given the contexts enumerated previously in Phase 1, the Department and each of its offices and units must then update their own context depending on the process, function and area they operate in. It must be noted that examining and defining the playing field on which to stake our strategies is not limited to managing our projects and operations but encompasses every aspect and link of the value chain including the administration and support services.

The Department, therefore, has to make the necessary adjustments to keep in step with its context. Consequently, all processes and units affected have to make the necessary shifts accordingly and be able to communicate the adjustments to be made. Commitments of each unit would then be cascaded to individual staff to be reflected in their own performance contract.

b. Rewards and Recognition.

The Scorecard Summit, conducted during the last quarter of the year, is a revalidation on strategic innovations that focuses on how the DSWD Head/Staff and Office/Unit were able to significantly produce results in moving their scorecard targets. Their exemplary performance will be featured and recognized provided that they have passed the set selection criteria.

2. Individual Level.

At the individual level, 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 that can improve the employee's competencies and performance. 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 DSWD personnel is performance-based. The results of the performance evaluation shall be used to provide reinforcement or sustain good performance.

In addition, development planning shall be done to address performance gaps. Action plans can be made to identify development plans and appropriate interventions. Superiors may use the Performance Rewarding and Development Plan Form to help identify development interventions. Please refer to Annex 10 for the Performance Rewarding and Development Plan Form.

a. Personnel Development Actions

i. Managing Low Performance

Performance ratings shall be used as basis for security of tenure, promotion, trainings and scholarship grants and other personnel actions including renewal of contracts.

Employees who obtain Unsatisfactory/Poor rating for one rating period or needs improvement shall be provided appropriate developmental intervention by the immediate supervisor and/or the Head of the Office/Bureau or Service to address competency-related performance gaps.

The following shall apply to employees with low performance ratings:

Table 5. Personnel Actions to Unsatisfactory and Poor Ratings

Adjectival Rating	Personnel Development Action	Remarks
1 Unsatisfactory rating	Employee shall be counseled or provided with developmental intervention/s to improve performance. 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 employee may also be a ground for administrative offense. In the same manner, the employee who refuses to follow the intervention for no justifiable reason shall be liable for the consequences.
2 Consecutive unsatisfactory ratings	May warrant dropping from the roll of employees through due process	Employees may appeal decisions on their ratings
1 Poor rating	May warrant dropping from the roll of employees through due process	Employees may appeal decisions on their ratings

ii. Appeals

1. Appeals/issues on the results of performance ratings may be raised by the employee to his/her supervisor, HOBS, the HRDB, or a third party who will serve as a counselor/mediator. Appeals should be raised by personnel within seven (7) working days of his or her receipt of the approved or concurred upon performance ratings.
2. The employee and the supervisor/HOBS or counselor/mediator, shall then meet within five (5) working days of the receipt of the appeal. They will discuss/negotiate the concerns and aim for a constructive agreement on the rating. Decisions on the performance rating shall be based on evidence presented.
3. The employee must then be given a notice of their performance rating on the same day based on the discussions/negotiations. If no agreement or resolution is reached at the level of the employee with the HOBS (with or without a third party), the issue/appeal shall be elevated to the PMT within seven (7) working days from the date of the employee's receipt of notice of their (new) performance rating.
4. The PMT must reach a decision about the appeal within seven (7) working days from receipt of the appeal.
5. Officials or regular employees who are separated from the service on the basis of Unsatisfactory or Poor performance after 2 consecutive rating periods can appeal their separation to the CSC within fifteen (15) days of receipt of order or notice of separation. The highest level of appeals for non-regular employees is at the PMT; therefore, all appeals of non-regular employees must be resolved at the PMT level.

b. Step Increment due to Meritorious Performance

In line 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, 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:

- 2 step increments if Outstanding
- 1 step increment if Very Satisfactory.

c. Rewards and Bonuses

Grant of incentives like the Productivity Incentive Bonus or other performance-based incentives and awards shall likewise be based on the final ratings of employees approved by the HOBS and submitted to HRDB. The HOBS shall validate the Outstanding Performance ratings and may recommend concerned employees to PMT or other committees handling performance-based awards.

Below is a list of incentives that are in place. These shall be provided based on the performance ratings.

i. Productivity Incentive Bonus

Pursuant to the provisions of the General Appropriations Act (GAA), a productivity incentive bonus (PIB) shall be granted to Officials and employees based on the following ratings:

Table 6. Productivity Incentive Bonus (PIB) Rate

Adjectival Scale	Numerical Scale	PIB Amount
Outstanding	4.20 – 5.00	PhP 2,500
Very Satisfactory	3.40 – 4.19	PhP 2,000
Satisfactory	2.60 – 3.39	PhP 1,500
Unsatisfactory	1.80 – 2.59	None
Poor	1.00 – 1.79	None

ii. Program on Awards and Incentives for Service Excellence

Officials and qualified employees with exemplary performance shall be nominated, recognized and/or rewarded according to the Program on Awards and Incentives for Service Excellence (PRAISE) or MC No. 03, series 2003. These include awards for loyalty or service to the Department.

iii. 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.

Other reward mechanisms can be established if it is deemed necessary and relevant.

d. Considerations regarding Promotions and Incentives

i. Official Travel and Approved Leaves

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 or three (3) consecutive months shall submit the performance commitment and rating report before they leave the office for their official travel. For those with rating period below 90 days, the annual rating in the preceding period shall apply for personnel actions such as application for promotion/other position.

For purposes of benefits/bonus excluding PBB, employees who are on official travel, scholarship or training within a rating period shall use the preceding annual performance rating

ii. Secondment

Employees who are on detail or secondment to another office shall be rated in their present or actual office, copy furnished their mother 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 original office (where the employee's plantilla item or source of funding) or present office of deployment, where the employees have spent majority of their time during the rating period.

VII. COVERAGE

A. All of Agency

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

Attached agencies are under the technical supervision of the DSWD, and hence are not covered by these guidelines unless they resolve to adopt it.

The Department's performance shall be determined based on performance standards/metrics (e.g. MFOs under the OPIF, Good Governance Conditions under EO No. 80) established by Oversight Agencies (e.g. National Economic and Development Authority, Department of Budget and Management), the Office of the President and other relevant bodies.

B. Offices, Bureaus, Services and Units (OBSUs) and Field Offices (FOs)

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

C. Individual Personnel

- Covered are Officials and employees who are incumbents of career, non-career, casual and contractual positions in the Department.
- Those hired under Memorandum of Agreement (i.e., MOA, contract of service workers, job orders) whose renewal of Contracting Services shall be based on performance shall also be covered by these guidelines.
- Consultants are not covered by this guideline unless required to be so.

- All Officials and the Rank and File shall be collectively referred to as "employees or personnel" in this document.
 1. Officials – incumbents of third level positions or its 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.

VIII. KEY PLAYERS AND INSTITUTIONAL ARRANGEMENTS

A. DSWD Performance Management Team (PMT)

1. All Undersecretaries/Cluster Heads of the Department. The Undersecretary of the Institutional Development Group (IDG) and the Policy and Plans Group (PPG) shall act as Chairperson on an alternating basis every two (2) years. Since the Chairmanship is between the PPG and IDG, the Vice-Chairperson shall be voted among the remaining Cluster Head PMT members every 2 years.
2. Assistant Secretary, Office of the Secretary Group
3. Director, Policy Development and Planning Bureau (PDPB)
4. Director, Human Resource Development Bureau (HRDB)
5. Director, Office of Strategy Management (OSM)
6. Director, Capacity Building Bureau (CBB)
7. Director, Financial Management Service (FMS)
8. Regional Program Manager
9. President of the Social Welfare Employees Association of the Philippines (SWEAP) or the accredited employees association.

The PMT shall perform the following functions:

1. Oversee tasks related to the effective implementation of the DSPMS, specifically:
 - a. Propose a synchronized calendar for DSPMS activities, in consultation with various OBSUs and FOs, for approval of the Department Secretary;
 - b. Review and enhance the existing PMS to ensure a results-based PMS that is anchored on the agency's mandate and strategic goals;
 - c. 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, key result areas, major final outputs and performance indicators;
 - d. Ensure alignment or translation and cascading of organizational commitments (as captured in the strategic goals, medium term plans, corporate plans, MTEP, annual WFP, etc.) to the different levels in the agency;
2. Enhance assessment tools including guidelines for its administration;
3. Assist the Secretary in overseeing the performance of OBS and FOs in setting the criteria to rank offices and individuals for the grant of performance-based incentives;
4. Update the organizational performance template (i.e. Harmonized PC) Indicators as basis for office performance. The Harmonized PC contains a menu of performance target and indicators which offices can use as reference for targeting.
5. 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;
6. Develop a communication strategy to enable DSWD officials and staff to better understand the DSWD SPMS especially in linking individual targets and performance to the overall Office performance;
7. Report to the EXECOM on the implementation status and concerns regarding performance management and submit recommendations that will ensure the DSPMS is implemented effectively;

8. 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 DSPMS meets its objectives;
9. Adopt its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberation, delegation of authority to representatives in case of absence of its members.

In the **Field Offices**, the Assistant Regional Director will act as the Chairperson of the RPMT with the Division Chief or Highest Officer of the Institutional Development Division to act as the Vice Chairperson. Specifically, the RPMT shall be composed of the following:

- Assistant Regional Director to act as Chairperson;
- Division Chief/Highest Officer of Institutional Development Division (or Human Resource Development Unit and Capacity Building Unit) to act as Vice Chairperson;
- Division Chief/Highest Officer of General Administration and Support Services Division or Finance Management Unit and Personnel Unit;
- Division Chief/Highest Officer of Policy and Plans Division or Planning Unit;
- Representative of rank and file employees.

The RPMT shall perform the following functions:

1. Set consultation meeting of all HOBS for the purpose of discussing the targets set in the office performance commitments and rating forms;
2. 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;
3. Act as appeals body and arbiter for performance management issues;
4. Identifies potential top performers and provide inputs to PRAISE Committee for the grant of awards and incentives;
5. 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;
6. 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.

B. Heads of Offices/Bureaus/Services (HOBS) including the Cluster Heads

1. Assume primary responsibility for performance management in his/her Office;
2. Conduct planning sessions with the supervisors and staff to agree on the outputs that should be accomplished based on goals/objectives of the organization;
3. Prepare and submit accomplished OPC/R Form to the PDPB;
4. Review and concur/approve Individual Performance Contract and Review Form (IPCR) of employees;
5. Do initial assessment of Office performance using the approved OPCR Form;
6. Determine the final performance assessment of individual employees in his/her Office based on proof of performance;
7. 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;
8. Identify potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives;
9. In coordination with supervisor of staff, inform in writing subordinates who obtain Unsatisfactory or Poor rating and plan appropriate intervention to manage performance;

10. Designate an Office PMS focal person for matters involving the implementation of the DSPMS;
11. 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;
12. Upon request of a Rater, participate as resource person in the performance assessment exercise of an Office, Bureau or Service.

C. Division Chief or Equivalent

1. Assume joint responsibility with HOBS in ensuring attainment of performance objectives and targets;
2. Rationalize distribution of targets/tasks among subordinates in the Division/Unit/Project Office;
3. Monitor the performance of subordinates and provide support/assistance through coaching in order to meet performance targets;
4. Evaluate employees' performance/accomplishments;
5. Recommend developmental intervention/s if needed and provide support/guide the employee during its implementation; and
6. Provide feedback with regard to the implementation of the DSPMS and recommendations to improve it.

D. Employee/Personnel

1. Act as 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);
2. Accomplish and submit IPC/R Form;
3. Cooperate and participate in activities or programs that will enhance ability to perform assigned job;
4. Provide feedback with regard to the implementation of the DSPMS and recommendations to improve it.

E. PMS Focal Person

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

1. Attend meetings and other activities related to DSPMS implementation, review and enhancement;
2. Re-echo instructions, requirements, plans and agreements in the PMS-related meetings and activities within his/her OBS/FO;
3. Administer to Raters the behavioral tools and other forms related to PMS requirements and ensure completion of these requirements; and
4. Assist the HOBS for the submission of performance documents (i.e., OPCs/IPCs and Reviews) to HRDB or FO counterpart for Individual level; to PDPB or FO counterpart for Organizational level.

F. Performance Management Team Secretariat

a. Organizational/Office Level

In the Central Office, the PDPB shall be responsible for leading and overseeing the implementation of the DSPMS at the Organizational (all of agency) and Office level. The PDPB and its FO counterpart in coordination with PDPB, shall act as the Secretariat and shall perform the following:

1. Assist in the formulation of Department Strategic Plan, Objectives and/or goals for the medium and long term and its review for enhancement as needed.
2. In coordination with the FMS, assist OBS in defining 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;
3. Monitor and report status of accomplishments of the Department to the Secretary, Executive Committee and as required by pertinent oversight agencies (e.g. through Major Final Outputs, Overall Results Framework, etc.);
4. Ensure that OBS' performance targets, measures, and budget are aligned with those of the Department and that work distribution among OBS are rationalized;
5. Guide HOBS and provide technical assistance to FOs in the preparation of the Office Performance Contracting and Review Form;
6. Provide technical and secretariat services during OBS performance review and evaluation and OPC Performance Checkpoint of both CO and FOs as needed;
7. As directed/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;
8. Prepare appropriate reports relative to the accomplishments of the Department and the implementation of the Department SPMS at the organizational level; and
9. Issue directives, guides or protocols to facilitate the implementation of the DSPMS.

• **Individual Level**

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

1. Provide assistance and issue reminders in the preparation of Individual Performance Commitment and Review (IPCR) forms including the computation of scores/performance ratings and the accomplishment of other related forms;
2. Review/Validate the computation of Individual Performance rating;
3. Prepare appropriate reports relative to the implementation of the DSPMS at the Individual level and submit to appropriate authorities;
4. Analyze 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;
5. Collect, organize and maintain files or records of performance ratings of officials and employees;
6. Coordinate with the Career Executive Service Board (CESB) to comply with the Career Executive Service Performance Evaluation System (CESPES) of Officials;
7. Coordinate with the CSC as needed to ensure proper and effective implementation of the DSPMS

c. Field Office Level

In the Field Offices, the Regional PMS Secretariat designated by the Regional Directors shall:

1. as applicable, implement the functions stated above for organizational and individual performance;
2. Coordinate with Central Office regarding schedule of performance planning, checkpoints, performance evaluation, among others;
3. Collect, organize, document, secure and maintain files or records related to PMS.

G. Head of PMT Secretariat (HOS)

The HOS shall be lodged in the Office of the Chairperson of the PMT and shall function as follows:

1. Prepare and finalize the guidelines for the evaluation of individual and office performance;
2. Enhance and finalize the behavioral tools including guidelines for its administration;
3. Assist the PMT Chair in overseeing the performance of OBSUs/FOs and in setting the criteria to offices and individuals for the grant of performance-based incentives;
4. Submit special reports to the PMT Chair on the implementation status and concerns regarding performance management that have to be acted upon or decided by the PMT, MANCOM and/or EXECOM; and
5. Convene the PMT Members during regular/special PMT meetings and prepare necessary documents/correspondence relative to this.

IX. SANCTIONS

Any violation of any provision in this Order shall be dealt with in accordance with existing DSWD and Civil Service rules and regulations.

Unless justified and accepted by the PMT, non-submission of the OPC/R and IPC/R to PDPB and HRDB within the specified dates and non-compliance of the provisions stated herewith shall be grounds for:

1. Deferment of performance-based personnel actions such as promotion, training or scholarship grants, performance incentive bonus, and merit increase, if failure of the submission is the fault of the employees;
2. Administrative sanction, if applicable, or for violation of reasonable office rules and regulations and simple neglect of duty of the supervisors or employees responsible, or for the delay or non-submission of the OPC/IPC Review Report;
3. Administrative sanction, if applicable, or for failure on the part of the HOBS to comply with the required notices to subordinates for unsatisfactory or poor performance during a rating period (i.e., Neglect of duty);
4. Dropping from the rolls or dismissal from the service.

X. EFFECTIVITY

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 30 day of June 2015.



CORAZON JULIANO-SOLIMAN
Secretary

ANNEX 1: International and National Commitments

International Commitments

- Convention on the Rights of the Child (CRC) & its Optional Protocols;
- World Fit for Children;
- Convention on the Elimination of all Forms of discrimination Against Women (CEDAW);
- Convention on Organized Transnational Crime and its Protocols;
- Declaration of the Asian and Pacific Decade of Disabled Persons,
- Madrid Plan of Action for Ageing;
- Shanghai Implementation Strategy.

National Laws/Policies and National Sectoral Plans

i. **Children –**

- Republic Act (RA) No. 10410 or The Early Years Act of 2013, RA No. 10165 or Foster Care Act of 2012, RA No. 10157 or Kindergarten Education Act, RA 7610 or Special Protection of Children Against Abuse, Exploitation & Discrimination Act, etc.;
- 2nd Philippine National Plan of Action for children 2011-2016

ii. **Youth –**

- RA No. 10175 or Cybercrime Prevention Act of 2012, RA No. 9334 or Juvenile Justice and Welfare Act, RA No. 8044 or Youth in Nation Building, etc.;
- Philippine Youth Development Plan 2012-2016

iii. **Women –**

- RA No. 10361 or The Domestic Workers Act, RA No. 9710 or The Magna Carta for Women, RA No. 10364 or The Expanded Anti-Trafficking in Persons Act of 2012, RA No. 9261 or The Anti-Violence Against Women & Children Act;
- Women's Empowerment & Development Towards Gender Equality (WEDGE) Plan 2012-2016

iv. **Persons with Disabilities –** RA No. 10524 or An Act Expanding the Positions Reserved for Persons with Disability, RA # 9442 or An Act Amending RA 7277 otherwise known as the Magna Carta for Persons with Disabilities, etc.;

v. **Senior Citizens –** RA No. 9994 or the Expanded Senior Citizens Act of 2010; RA No. 7876 or the Senior Citizens Act of the Philippines; etc.;

vi. **Family -** RA No. 8369 Family Court of 1997 and RA No. 8972 or the Solo Parents Welfare Act of 2000

ANNEX 2: Roles of Offices in the PMT

Office	Roles
Office of the OSEC Group (OSG)	Responsible for policy decision/directives on strategic planning and alignment of goals and monitoring of Field Offices' operations and performance
Policy and Plans Group (PPG)	Responsible for policy decision/directives on organizational and office performance management and overall setting of agency thrust and priorities, performance goals, objectives and measures
Operations and Programs Group (OPG)	Responsible for linking of DSWD to the different sectors the DSWD serves; providing feedback to PDPB and OSM the realities/situation of these sectors to enhance/develop performance indicators and setting organizational priorities
Institutional Development Group (IDG)	Responsible for policy decision/directives on alignment and linking of individual performance to office performance management
General Administrative and Support Services Group (GASSG)	Responsible for policy decision on DSWD strategic support services, organizational budget and performance-based incentive benefits
Policy Development and Planning Bureau (PDPB)	Responsible for the Office Performance Contract (OPC) planning, review, checkpoint and evaluation of Offices and the Department
Finance Management Service (FMS)	Responsible for provision of accurate information the DSWD budget and financial requirements (budget allocation, utilization)
Human Resource Development Bureau (HRDB)	Responsible for Individual Performance Contract (IPC) planning, review, checkpoint and evaluation of officials and rank and file employees
Capacity Building Bureau (CBB)	Responsible for capacity building for officials and employees
Office of Strategy Management (OSM)	Responsible for crafting strategic plans and aligning organizational goals and performance.
SWEAP	Responsible for engaging personnel in PMS, elevating concerns and recommendations in performance management

Note: The PMT and roles of members may change subject to approval of the Secretary and the recommendation of the PMT.

[This form should be accomplished per Office/Bureau/Service, by the Director/Head of Office and submitted to PDPB by January for the performance planning stage.]

ANNEX 3: OPC Form

Office Performance Contract (OPC)
Name of Office/ Bureau/Service
CY 20

The _____ (Name of Office/Bureau/Service) of DSWD, commits to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the rating period January-December 2014.

KEY RESULT AREAS	SUCCESS INDICATORS	ALLOTTED BUDGET	ACCOUNTABLE DIVISION/ INDIVIDUALS
A. STRATEGIC PRIORITIES			
B. CORE FUNCTIONS/ OTHER KRAs			
C. SECRETARY'S DIRECTIVE			
TOTAL PERCENTAGE	100%		

Submitted By:

Ratee/Official

Noted by:

Approved by:

Signature over Printed Name of Coach-Monitor/Cluster Head
Date:

Signature over Printed Name of
Rater/Cluster Head/Secretary

[This form should be accomplished by the Official and submitted to the PDPB by January-February for the performance planning stage.]

ANNEX 4: IPC Form for Officials

**Individual Performance Contract (IPC) for Officials
CY 20__**

Name of Ratee: _____

Position/Office: _____

KEY RESULT AREA/ KEY RESULTS	WEIGHT ALLOCATION (per section)	SUCCESS INDICATOR (may be stated as Quantity, Qualiy, Timeliness)
I. STRATEGIC PRIORITIES <i>(Please leave blank. The rating for this section will be derived from the score/rating in the OPCR.)</i>		
II. KRAs/CORE FUNCTIONS of the HOBS Please use the "Master IPC for Officials" as a reference for some possible targets/indicators.		
III. LEADERSHIP AND MANAGERIAL COMPETENCIES <i>Mahusay Magiliw Matapat</i> <i>(Please leave blank. Performance rating will be based on the Leadership and Managerial Competency Assessment Tool [LMCAT])</i>		
TOTAL	100%	

Prepared by:

NAME OF OFFICIAL
(signature over printed name)

Recommending Approval:

CLUSTER HEAD
(signature over printed name)

Approved by:

SECRETARY
(signature over printed name)

[This form should be accomplished by the rank and file and submitted to the HRDB by January-February for the performance planning stage.]

Instruction: The Individual Performance Contract (IPC) is a tool used to plan individual's targets and major contribution/role to his/her office for the rating period and set performance indicators/measures: quantity, quality and time. Please fill-in the columns and indicate the following:

- **Key Result Area** - specify only mission critical outputs, end result of your functions/tasks or what is to be delivered.
- **Success/ Performance Indicator/Measure** - specify the target indicators of performance in terms of Quantity (number or percentage of accomplishment), Quality (standard of accomplishment) and/or time (timeliness/date of accomplishing results/turnaround time).

ANNEX 5: IPC Form for Rank & File

**INDIVIDUAL PERFORMANCE CONTRACT
For Rank & File
CY 2014**

Name: _____
Position/Office: _____

KEY RESULT AREA/ Program, Activity, Project/ Deliverable	Success/ Performance Indicators/Measures (Quantity, Quality, Time)

Prepared by:

(Name of Ratee)
(Position)
Date: _____

Concurred by:

(Name of DC/Supervisor)
(Position)
Date: _____

(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 6: Performance Monitoring and Coaching Form

Instruction: This Form is basically the Office/Individual Performance Contract with additional three (3) columns. Please fill-in the columns and indicate the following:

- a. Progress using the symbols below :

Symbol	Status of Targets
✓	Done or sure to be delivered by December 2013
?	Has challenges and needs help to deliver targets

- b. Status of the target (e.g. actual number or percentage of current accomplishment (60% or 60 out of 100); actual qualitative accomplishment based on performance indicator (Guidelines/Report/comments drafted/for finalization/endorsed to OBS-CO/Secretary);
c. Remarks or comments on the performance indicator, challenges encountered to accomplishing the target, facilitating factors, suggestions, or proposed changes, etc.

PERFORMANCE MONITORING AND COACHING

(Name of Office/Bureau/Service)

CY _____

KEY RESULT AREA	Performance/ Success Indicators	Allotted Budgetary	Accountable Division	✓/or ?	Status/ Progress	Remarks

Prepared by:

Concurred by:

**(Name of Ratee)
(Position)**

**(Name of Supervisor/Coach)
(Position)**

**Name of Cluster-Head/Rater
(Position)**

ANNEX 7: Summary of PC Checkpoint and Monitoring Agreements Form for Officials

Instruction: This form is the summarized PC Monitoring and Coaching Form reflecting only the targets with the proposed amendments and justification on the Office/Individual Performance Contract (OPC/IPC). Please fill-in the columns:

**SUMMARY OF PC CHECKPOINT AND MONITORING AGREEMENTS FORM
FOR OFFICIALS**
[Office / Individual]
 (Name of Office)
 CY _____

Original Key Result/ Performance Indicator/ Target (based from approved PC)	Proposed AMENDMENT to Key Result/ Target	JUSTIFICATION (Reason for amendment)	Recommendation of Coach-Monitor and/or Rater (Approved/ Disapproved/ Remarks)

Prepared by:

Name of Official
(Position/Designation)
(Date)

Concurred by:

(Name of Coach-Monitor and Rater)
(Position-Designation)
(Date)

ANNEX 8: OPCR Form

[This form should be accomplished per Office/Bureau/Service, by the Director or Head of Office and submitted to the PDPB by January-March of the succeeding year for the performance evaluation stage.]

Instructions: This Form is the Office Performance Contract with an additional three (3) columns. Please fill in the columns and indicate the following:

- a. Actual Accomplishments: e.g. actual number or percentage of current accomplishment (60% or 60 out of 100); actual qualitative accomplishment based on performance indicator (Guidelines/Report/comments drafted/for finalization/endorsed to OBS-CO/Secretary);
- b. Ratings (for Quantity, Quality, Time and Average Rating)
- c. Remarks or comments on the performance indicator, challenges encountered to accomplishing the target, facilitating factors, suggestions, or proposed changes, etc.

OFFICE PERFORMANCE CONTRACT AND REVIEW

(Name of Office/Bureau/Service)

CY _____

I, _____, committed to deliver and agree to be rated on the attainment of the following targets and indicators for my Office.

KEY RESULT AREA/ Major Final Output/ Program, Activity, Project	Weight Allocation	Success/ Performance Indicators/Measures (Quantity, Quality, Time)	Allotted Budget	Accountabl e Division/Un it	Actual	Rating				Remarks
						Q n	QI	T	Ave.	
Final Average Rating										
Adjectival Rating										

Submitted by:

(Name of Ratee)
Director/ Date: _____

Concurred by:

(Name of Coach Monitor)
(Position)/ Date: _____

Rating Approved by:

(Name of Rater)
(Position)/Date: _____

ANNEX 9: IPCR Form

[This form should be accomplished by officials/rank-and-file employees and submitted to the HRDB by February of the succeeding rating period for the performance evaluation stage.]

INDIVIDUAL PERFORMANCE CONTRACT AND REVIEW

(Name of Office/Bureau/Service)

CY _____

I, _____, commit to deliver and agree to be rated on the attainment of the following targets and indicators for my duties.

KEY RESULT AREA/ Program, Activity, Project/ Deliverable	Success/ Performance Indicators/Measures (Quantity, Quality, Time)	Actual	Rating				Remarks
			Q n	QI	T	Ave.	
Final Average Rating							
Adjectival Rating							

Prepared by:

(Name of Ratee)
(Position)
Date: _____

Concurred by:

(Name of DC/Supervisor)
(Position)
Date: _____(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 10: Performance Rewarding and Development Plan

[This form should be accomplished by concerned employee with his/her Supervisor and Director/Head and submitted to the HRDB upon completion of the IPCR rating or by 1st quarter after the rating period for the performance developmental planning stage.]

PERFORMANCE REWARDING AND DEVELOPMENT PLAN

(Name of Office/Bureau/Service)

CY _____

Job Requirements	Current Competency Level/ Baseline	Aim/ Plan/ Target Steps	Target Date	Results of Target	Remarks/ Next Steps
Education:					
Training:					
Eligibility:					
Experience:					
Competencies:					

Prepared by:

(Name of Ratee)
(Position)
Date: _____

Concurred by:

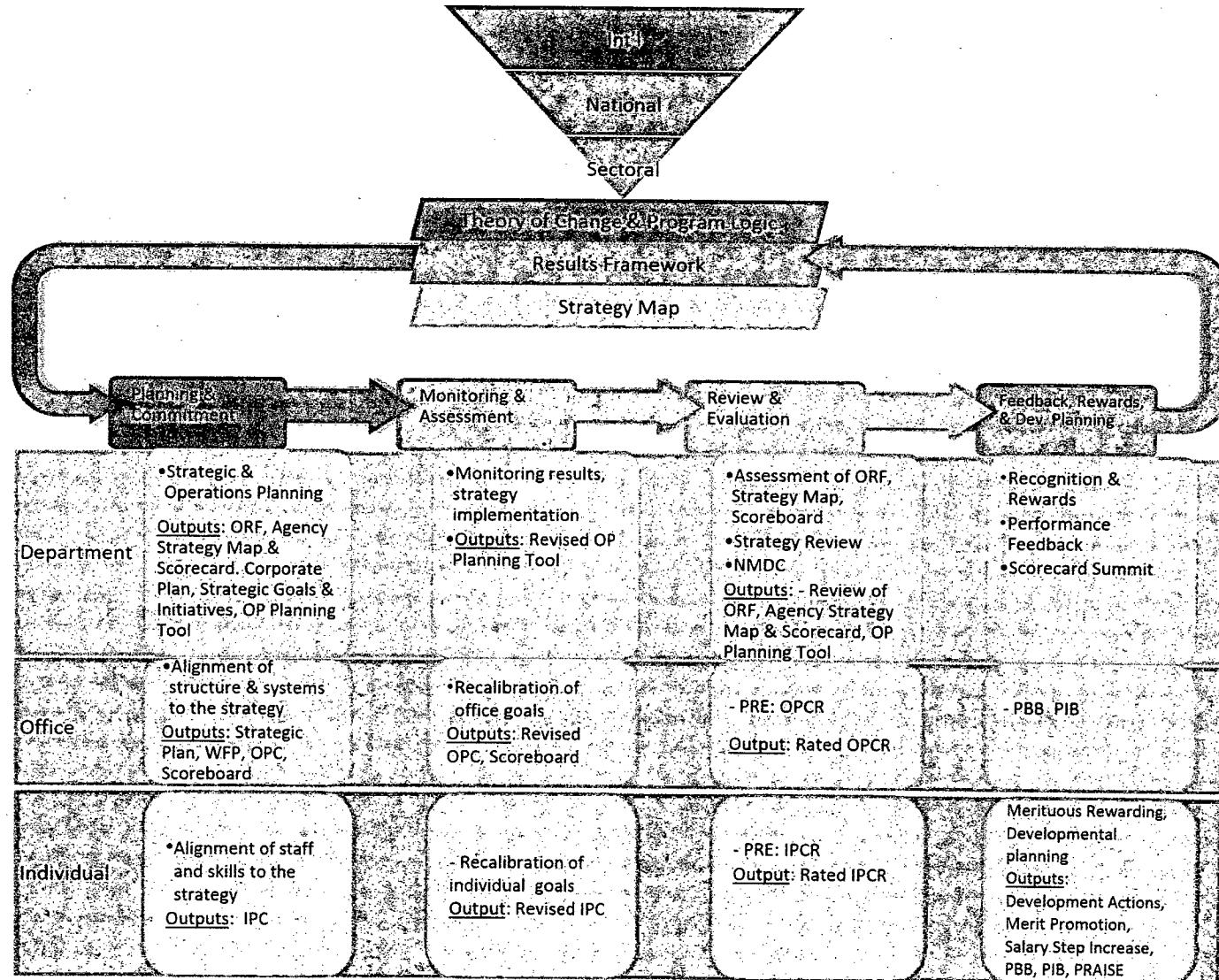
(Name of DC/Supervisor)
(Position)
Date: _____

(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 11: List of Plans and Reports Prepared by the Department

PLANS	REPORT REQUIREMENTS	MONITORED/CONSOLIDATED BY:	SOURCE OF DATA
International Commitments/MDGs/Post 2015 Agenda	Universal Periodic Review (UPR) MDGs, Updates on Conventions, UN Reports, etc.	PDPB, PPG	OPG (NPMO, PSB, DRRROO), OSG (FOs) PPG (PDPB, NHTO)
President's Agenda	Cabinet Secretary's Planning Tool	Office of the Secretary, PDPB	OSM, PDPB, OPG (NPMO)
Philippine Development Plan – Social Protection	Results Matrix	PDPB	OPG (NPMO, PSB, DRRROO), OSG (FOs) PPG (PDPB, NHTO, RMEO)
Reform Agenda - SWDRP	Medium-Term Expenditure Plan	PDPB, FMS	All FOs and Select OBS
Strategy Map – Strategic Goals and Initiatives	Agency Scorecard, OBS Scoreboard, Initiatives Profiles	OSM	All FOs and Select OBS
Major Final Outputs	MFO Reporting Forms, URBME Forms	PDPB	All FOs and Select OBS
Work and Financial Plan	Budget Reports, Agency Performance Matrix, BED/BAR	FMS, PDPB	All FOs and All OBS
Program/Activities/Projects	Activity Proposals	All OBS	All FOs and All OBS

ANNEX 12: DSPMS Process



ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

DSWD STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (DSPMS)

I. RATIONALE

In May 2011 His Excellency President Benigno S. Aquino, III issued Executive Order No. 43¹⁰ which described his vision of

*“...a country with:
A re-awakened sense of right and wrong, through the living examples of our highest leaders;
An organized and widely-shared rapid expansion of our economy through a government dedicated to honing and mobilizing our people’s skills and energies as well as the responsible harnessing of our natural resources;
A collective belief that doing the right thing does not only make sense morally, but translates into economic value as well; and
Public institutions rebuilt on the strong solidarity of our society and its communities.”*

Pursuant to this ideal, his Excellency initiated steps to ensure that service delivery is felt by the common Filipino citizens – the “ordinaryong tao”. Among the steps were the issuance of the following directives:

- Establishment of a unified and integrated Results Based Performance Management System (RBPMs)¹¹ across all agencies within the Executive Branch;
- establishment of a Performance Based Incentive System (PBIS) that will motivate higher performance and greater accountability in the public sector to ensure the accomplishment of commitments and targets under the President’s Social Contract with the Filipino People¹² and the Philippine Development Plan 2011-2016.

These directives uphold the tenet espoused in prior directives for performance which is to rationalize and ensure alignment of individual performance to organizational performance to achieve major final outputs and outcomes.

Consistent with these directives, these guidelines describe DSWD’s Strategic Performance Management System (DSPMS) following the themes of alignment, integration, personnel development, results/outcomes focus guided by but not limited to the following systems:

- Organizational Performance Indicator Framework (OPIF) used by the DBM to measure agency performance;
- Results-Based Performance Monitoring System (RBPMs);
- Performance Governance System (DSWD Strategy Map);
- Strategic Performance Management System (SPMS).

II. LEGAL BASES

The following provides the legal bases for this guidelines:

- A. 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

¹⁰ Entitled: Pursuing Our Social Contract With The Filipino People Through The Reorganization Of The Cabinet Clusters

¹¹ Administrative Order No. 25 s.2011

¹² Executive Order No. 43 s. 2011

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

productivity; and provide an objective performance rating which shall serve as basis for incentives and rewards."

- B. Joint Resolution of House of Congress and Senate signed June 17, 2009 No. 4, s. 2008 authorized 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 provides the establishment of a performance incentive scheme that integrates individual and organizational performance.
- C. Presidential Administrative Order No. 25 s. 2011 or Creating An Inter-Agency Task Force On The Harmonization Of National Government Performance Monitoring, Information And Reporting Systems in order to establish a unified and integrated Results-Based Performance Management System (RBPMS) across all departments and agencies within the Executive Branch of Government incorporating a common set performance scorecard, and at the same time, creating an accurate, accessible, and up-to-date government-wide, sectoral, and organizational performance information system.
- D. Civil Service Commission (CSC) Memorandum Circular No. 06, s. 2012 or the Strategic Performance Management System (SPMS) focuses on the strategic alignment between the organization's goals and the day-to-day operations of the units particularly to each individual in the organization. It provides a mechanism that assesses organizational performance and the collective performance of individuals therein. It seeks to ensure organizational effectiveness and improvement of individual employee performance by cascading institutional accountabilities to the various levels of organization anchored on the establishment of rational and factual basis for performance targets and measures.
- E. Career Executive Service Board (CESB) Resolution No. 1136 s. 2014 or the Guidelines on the Enhanced Career Executive Service Performance Evaluation System (CESPES) focuses on documenting accomplishments and managerial competence of Officials in the agency in the context of the agency's strategic objectives.

III. OBJECTIVES

These guidelines seeks to achieve the following:

- 1. To ensure the proper identifying and cascading of DSWD accountabilities anchored on the establishment of a rational and factual basis for performance targets and measures, all towards the achievement of organizational outcomes.**
 - Concretize the linkage of the Department's performance with various National and Department-wide plans and policies;
 - Provide clear accountability to individuals and OBS for making changes supportive of the DSWD overall strategy; and
 - Ensure proper execution of the components of existing Performance Management Systems in the Department
- 2. To manage and enhance the performance of the Department, OBSUs, FOs, and individual employees towards the discharge of the Department's mission**
 - Use information gathered in plans, development, management and decision-making processes towards enhancing office and employee performance.
 - Link performance management with other HR systems to ensure continuous development, improved capacities and adherence to performance-based tenure and incentive systems;
 - Encourage a team/collaborative approach to performance management towards attainment of the DSWD strategic priorities.

IV. DEFINITION OF TERMS

- a. **Behavioral Rater** – refers to ratee's subordinate/peer/superior tasked for 360-degree feedback to evaluate or assess performance such as the core and leadership competencies and other satisfaction survey/validation.

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

- b. **Cluster Head** – refers to the Undersecretary or Official designated to Head the following: General Administration and Support Services Group (GASSG), Institutional Development Group (IDG), Office of the Secretary Group (OSG), Operations and Programs Group (OPG) and the Policy and Programs Group (PPG)
- c. **Head of Office (HOBS)** – refers to the highest ranking official of an Office/Field Office, Bureau, Service, Cluster and the like.
- d. **Key Result (KR)** – refers to accomplishment, output/outcome or set of outputs/outcomes being measured and described in terms of quantity, quality and time.
- e. **Harmonized PC** – is a document that reflects the priority actions of each of the Department's OBS reflective or indicative of our commitments stated in the DSWD strategy map and Scorecard.
- f. **Monitoring** – is 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.
- g. **Office** – generally refers to Field Offices, Bureaus, Services and other organizational offices that may be created. The acronym OBS shall be used to refer to all of these Offices collectively.
- h. **Performance Indicator/Measure** – a.k.a. Success Indicator is a means to evaluate success of a particular output, good or service. It may define the key result in terms of quantity, quality and/or timeliness or effectiveness, efficiency and/or timeliness.
- i. **PMS Focal Person** – refers to the staff designated by the HOBS to support the implementation of the DSPMS in coordination with the PMS Secretariat.
- j. **PMS Secretariat -Individual Level** – refers to the Human Resource Development Bureau (HRDB) in the Central Office and the Human Resource Development Unit (HRDU) in the Field Offices. It is responsible for facilitating the SPMS at the individual level.
- k. **PMS Secretariat -Office Level** – refers to the Policy Development and Planning Bureau (PDPB) in the Central Office and the Policy and Planning Unit (PPU) in the Field Offices. It is responsible for facilitating the SPMS at the OBS level and the Department level.
- l. **Ratee** – refers to the employee whose performance is to be evaluated or assessed.
- m. **Superior Rater** – refers to the immediate supervisor tasked to evaluate or assess performance or accomplishments of the Ratee.

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

V. DSPMS Framework

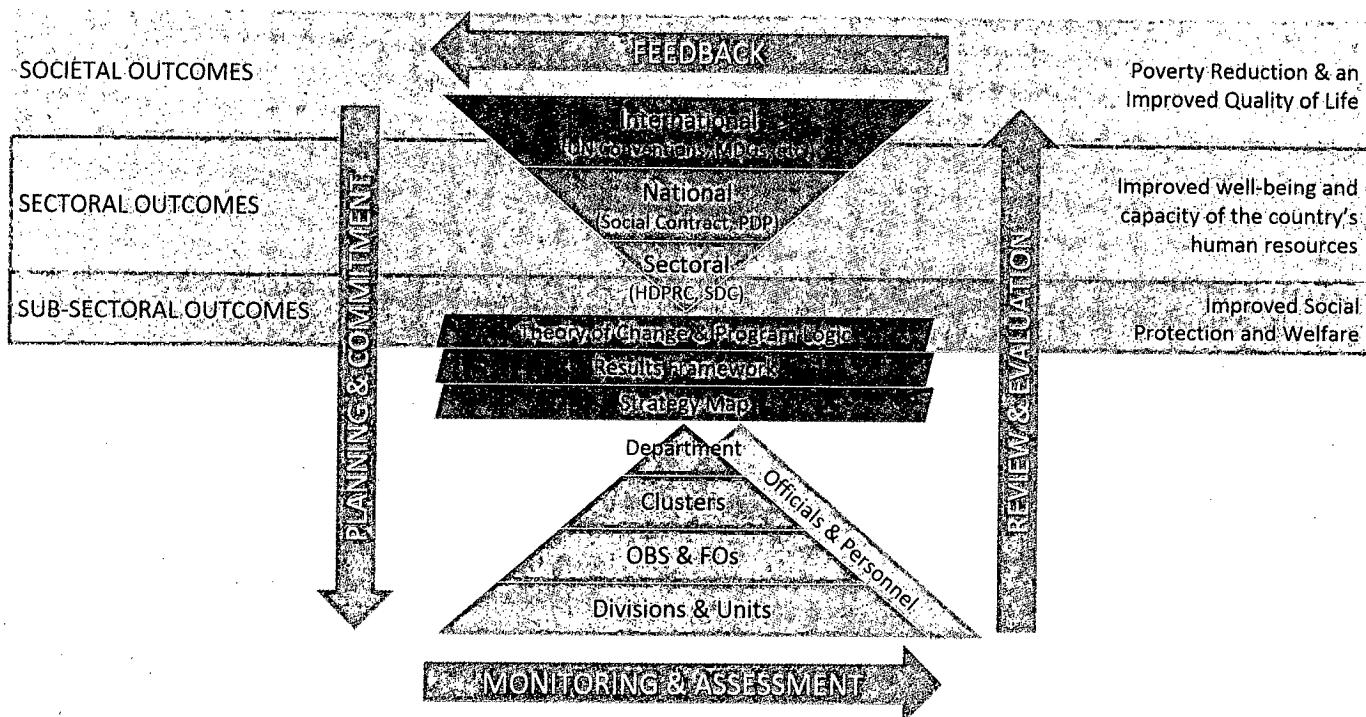
The Department is guided by the CSC's strategic performance management system (SPMS) guidelines which describes the SPMS as a set of processes for establishing a shared understanding of:

- what will be achieved (goals)
- how they will be achieved and
- managing people in a way that will increase the probability that it will be achieved.

The DSPMS is thus a mechanism to guide the Department to view the organization, its offices, units, and personnel as part of an open system – this means that performance management means taking into account the situation/context of the Department internally and externally to plan, monitor, drive, and enhance performance at all levels.

The following diagram illustrates these contexts and the process of performance management at the Departmental level:

Figure 1. The Organizational DSPMS Framework



This framework illustrates the holistic and pertinent components of performance management in the DSWD. These are:

- 1) The **core performance management processes**: (depicted by four the arrows in a cycle) these are the planning and commitment stage, the monitoring and assessment stage, the review and evaluation stage, and the feedback stage, which should feed into the cycle as an iterative process;
- 2) The **contexts**: (upper triangle) are higher level outcomes that the Department aims to contribute to according to our mandate. The Department contexts consist of the international, national, and sub-national that are at the local, sector as well as sub-sector levels)
- 3) The **strategy tools**: (middle bars between the two triangles) guides the Department in determining what we would want to contribute to and how. This is where performance accountability is defined taking into account both its internal and external context before cascading it to operational levels of the Agency. The strategy tools are the following:

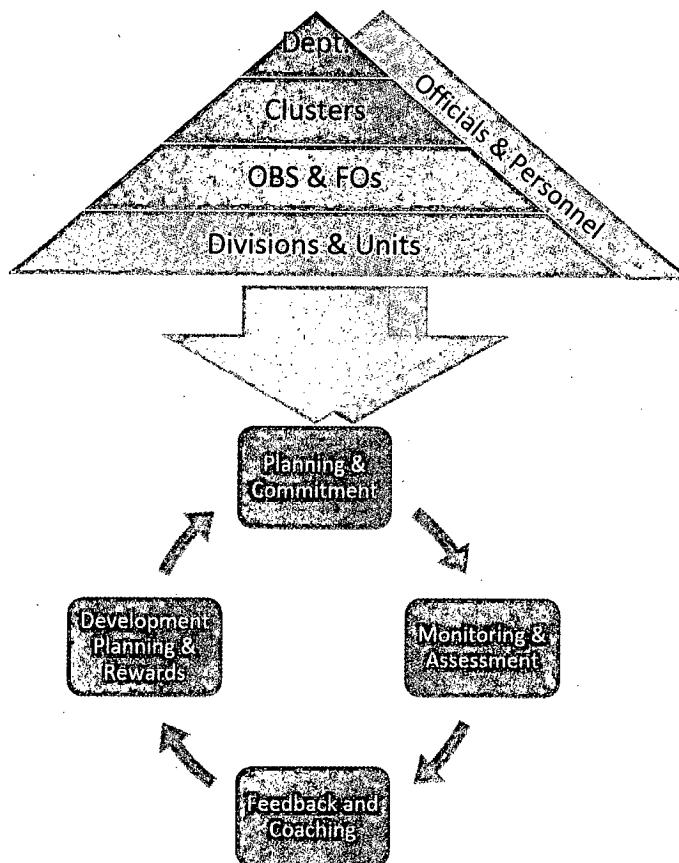
ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

- **Theory of change and Program Logic** to determine how we expect change to occur given our context
 - **Results Framework** to determine how we map out expected outcomes
 - **Strategy Map** to determine how we filter our priorities
- 4) The various **levels in the Department**: (lower triangle) the Department's Executive Committee and Management Committee, Clusters, OBS & FOs, Divisions, Services, Units, teams/work groups that carry out the mandate of the Department based on the strategy tools. Department personnel, i.e., staff members and officials, shadow this pyramid to explicitly present that individuals drive unit performance.

This framework shows that the Agency must be able to respond to changes in its internal and external context by assimilating the lessons from monitoring and evaluation phases and redefining its own context to be adaptive, responsive and relevant in its delivery of programs and services.

Figure 1 represents performance management at the Departmental level; however, the Department also needs to zoom into performance management at the office (sub-agency) and individual levels as this is where operations and service delivery towards the higher level outcomes are carried out. Figure 2 below illustrates the Performance Management Cycle at the office and individual level.

Figure 2. The DSPMS Framework



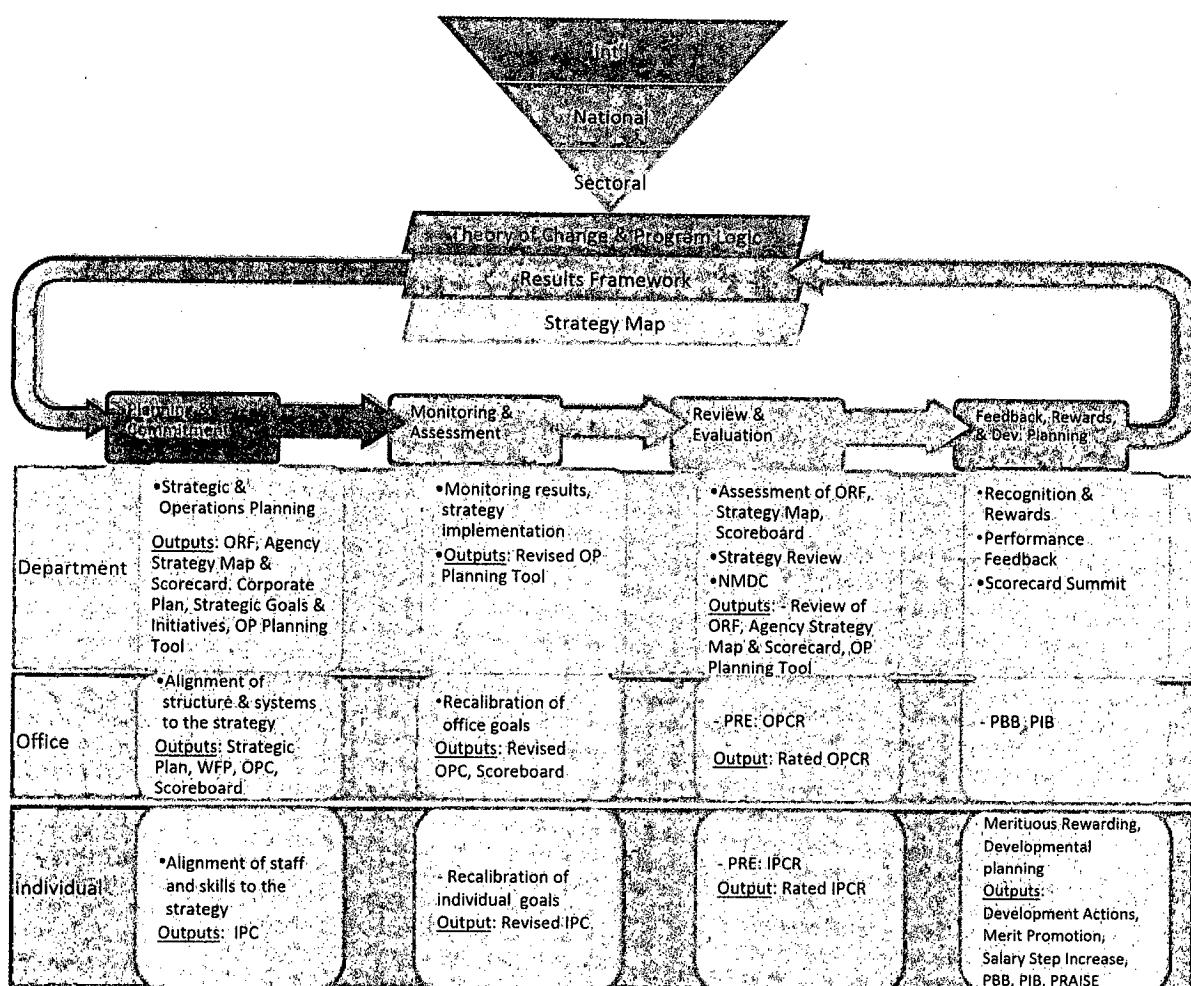
This figure highlights the part of the Organizational DSPMS Framework that occurs within the Department, from the Executive level down to the personnel. Here, performance management begins with the cascading of the mandates, outcomes, strategies, etc. from the Department level to the clusters, OBS & FOs, Divisions & Units, and to Officials and Personnel. What is cascaded then serves as inputs to the Performance Management Cycle.

Parallel to the Departmental Framework in Figure 1, the Performance Management Cycle has four phases: (a) Performance Planning and Commitment; (b) Performance Monitoring and Assessment; (c) Performance Review and Evaluation, (d) Performance Rewarding and Development Planning.

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

VI. DSPMS Process

Each of the phases in the DSPMS process happen at three levels in the Department: The Departmental, Office, and Individual/Employee levels. Each phase will be discussed according to these levels. The following diagram shows a summary of the process, tools, activities, and outputs that occur or are used in each phase.



The performance management cycle or performance period for the Department is one fiscal year starting in January and ending on December 31.

A. PERFORMANCE PLANNING AND COMMITMENT

A.1. At the Department level – also known as “All of Agency” level. The performance planning horizon to be focused on is the medium to long term. The output of which is a “corporate plan” or strategic plan spanning at least three to five years. The Policy Programs Group and Office of Strategy Management shall assist the Secretary and the Executive Committee in developing the strategic plan of the Department. This will include articulating the DSWD theory of change, Overall Results Framework, Strategy Map and Agency Scorecard, Strategic Goals, Strategic Initiatives, among others which shall define how to align Department’s structure, systems, staff and skills to the strategy¹³.

¹³ The end-result is a process of integrating McKinsey’s 7S Framework into the strategy development stage

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Once the strategic plan has been defined – it shall be executed on an annual basis. The annual planning-budgeting exercise is the activity that will result to the annual plan and shall be anchored on the DSWD Strategic Plan, National Expenditure Plan (NEP), General Appropriations Act (GAA), etc. The Department's approved Work and Financial Plan (WFP) shall be the short-term plan but which is tied to the strategic plan.

Crafting the annual WFP involves cascading commitments, objectives, or goals at the Department level to OBS and individuals but may also include specific performance targets from consolidated from Divisions and OBS.

A summary of the key performance targets and outcomes that need to be accomplished for the year shall be prepared by the PPG after coordination and consultation with HOBS at the Central Office and Field Offices. The DSWD PMT shall review and endorse the same for vetting by the Executive Committee or the Secretary.

A.2. At the Office, Bureau, Service (OBS) level – performance planning shall be based on/aligned with the Department's vision, mission, goals and obtaining corporate or strategic plan as well as the OBS' specific strategic plan, theory of change, and other pertinent existing plans and frameworks. Preparation of the annual WFP will then take these into consideration along with the Office's thrust and priorities for the year. All these considered, the OBS shall then identify key performance targets that will be captured in the **Office Performance Contract (OPC)**. When applicable, Department prescribed¹⁴ key result areas, key results and performance targets shall also be included.

This stage is the planning and contract-setting where the HOBS meets with his/her supervisors and staff and agree on what should be accomplished by the Office given their mandate and the goals/objectives of the Department. These shall be captured in the Office Performance Contract (OPC) form.

OPC Preparation

OPC's shall be approved on or before January 31 by the Secretary as recommended by the Cluster Head or his/her designated representatives. Prior to this, all OBSU/FO should have accomplished the following:

- A. Identify Performance Targets and corresponding performance measures (aka success indicators) out of the Department's priorities embodied in various plans and performance frameworks (e.g. Corporate Plan, Strategy Map, Annual WFP, Major Final Outputs, thrust and priorities, etc.) in the context of the mandate, KRA and functions of the OBS.
- B. Comparative review of priorities and key performance indicators of OBS shall be done to ensure these are linked to Department's thrust and priorities and strategic plan.
- C. The OPC shall have the following sections/areas:
 - Strategic Priorities – activities and outputs that directly contribute/affect achievement of the Strategic Goals
 - Other KRAs/Core Functions – activities/outputs of the OBS per its mandate
 - Secretary's Directives – special projects instructions that address specific issues/gaps within mandate of Office; outside mandate of OBS; and/or not included in WFP.

The Harmonized PC template shall serve as a guide in crafting the OPC of the CO OBS and FOs.

- D. Performance indicators (aka success indicators) shall be described using a combination of the following general categories:

Category	Definition
Quality	Specific standard of accomplishments that answers in what

¹⁴ Possible reference documents are directives from the Secretary or the Harmonized PC

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Quantity	manner and how well the goal is to be accomplished.
	Target number or percentage of accomplishment that answers by how many, or how much, or what increase or decrease rate of output is required for the goal to be considered accomplished.
Timeliness	The speed by which a performance target is accomplished (turn-around time) or the extent by which a result is achieved at the appropriate time (meeting a set deadline).

Performance indicators shall be reviewed regularly and enhanced by stakeholders. The PMT and the PDPB shall take the lead in updating the Harmonized PC Template, as needed.

- E. Performance targets shall take into account historical data of past performance, benchmarking with other agencies, client feedback of its services, those identified under its major final outputs, instructions from the Secretary or Undersecretary concerned, and potential performance vis-à-vis current performance, among others.

In setting targets, the HOBS shall indicate the detailed budget requirements, in reference to their WFP, to measure cost efficiency; and identify the specific division/unit/team/individuals accountable for producing a target output per program/activity/project (PAP). These are specified in the Office Performance Commitment (OPC) form (**Annex B**).

- F. The PMS Secretariat -Office level (Policy Development and Planning Bureau) shall assess the submitted OPCs to check their alignment with the Harmonized PC

The approved OPC shall be the basis for cascading targets to the rank and file and shall be the basis for individual performance targets and indicators.

A.3. At the Employees' Level – this refers to the individual performance planning leading to the preparation of the Individual Performance Contracts (IPC).

1. **For Officials** – IPC shall be distinct from the OPC. Key performance targets shall be identified on the basis of their leadership or management functions, to wit:
 - Setting the platform for success – involves providing the needed support (strategy, structure, systems, policy decision, staff and shared values) to ensure efficiency and effectiveness;
 - Ensuring quality of work/services – involves monitoring, performance management, fostering team spirit and rewards;
 - Problem solving – involves trouble-shooting, monitoring, evaluation and controlling;
 - Keeping the eye on the ball – ensuring strategic alignment. Involves being attuned to the strategic goals of the organization and using this as a context for planning, coaching and/or providing advise/inputs to staff and other stakeholders;
 - Office activities or projects needing specific attention or direct supervision by the Official;
 - Being the chief communications officer of their respective OBS/FOs and of management directives to both internal and external stakeholders.

Annex C is the IPC Form to be used by Officials. IPC shall be approved by the Secretary or her designated representative by February 15. For purposes of the CESPES, the Office PC (OPC) shall serve as the PC of HOBS.

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2. **For Rank and File Employees** – Performance targets shall be based primarily on the office priorities indicated in the OPC in the context of the role or terms of reference expected of the employee¹⁵ for the rating period. Identification of performance targets and the corresponding performance indicators or success indicators shall follow the guide in A.2. The IPC template in Annex D is the form to be used for this purpose. The PMS Secretariat -Individual level (HRDB) shall issue a reminder and guide on how to accomplish IPC with the Harmonized PC template.

IPCs shall be approved by the HOBS not later than February 28. For new employees, the IPC shall be approved within one (1) month from the date the employee assumed the position except when he/she is hired in after November 15 (towards the end of the calendar year/rating period)

A.4. Approving Authorities for Performance Contracts (PC)/and Review (PCR)

Table 1. Approving Authority for PCs

Proponent	Approving Authority
OPC/R Field Office EXECOM Offices (Offices of the Undersecretaries and Assistant Secretaries)	Department Secretary or designated representative of the Secretary
Office/Bureau/Service	Cluster Head (Undersecretary) or designated Assistant Secretary/representative
IPC/R – Officials	
Undersecretary, Assistant Secretary, Head Executive Assistant	Department Secretary
Head of OBS (designated as Regional Director or Bureau Director, Program/Project Director)	Department Secretary or designated representative of the Secretary
Assistant Director or equivalent (designated as Assistant Bureau Director/Assistant Regional Director, Deputy Program/Project Managers)	Head of the OBS (Bureau or Field Office Director)
IPCR – Rank and File	
Incumbents of positions Division Chief, or equivalent (SG 24) and below	Highest Official of the OBS (HOBS) or designated representative with the recommendation of the Division Chief or equivalent.

The PMT may modify the manner and procedure of formulating the OPCs/IPCs and shall provide direction on how this stage will be executed after each performance/rating period to ensure that the execution of the DSPMS remains true to its objectives.

B. PERFORMANCE MONITORING AND COACHING

This stage focuses on checking to what extent the Department, OBS and Employees are accomplishing work that has been planned (work mapped in strategic and annual plans) at specific points during the performance/rating period. Performance checkpoints are conducted based on the extent of accomplishments. The checkpoints may involve carrying out activities (e.g. catch up plans, interventions) that will ensure successful delivery of service or revising/adjusting the original plan/performance target. Mechanisms for monitoring and evaluation, including an information system to support performance monitoring, shall be put in place to ensure that performance indicators are met in the most effective manner.

¹⁵ This takes cognizance of the fact that general duties and responsibilities of employees may change hence the commitments in the IPC should be based on current role, job, tasks and outputs.

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B.1. At the Department level – performance checkpoints may occur during the review of the Department's budget utilization, National Management Conference (internal), Performance Reviews by Oversight Agencies, Strategy Refresh in the case of the Strategy Map, and similar activities. A list of reports currently being submitted to oversight agencies can be found in Annex J.

Offices responsible for the monitoring of the agency strategic plan, corporate plan, strategy map, medium term expenditure plan, strategic goals, and other pertinent performance frameworks and commitments shall initiate mid-point reviews in accordance with the protocols approved for these. Any enhancement of revision shall be relayed to the DSWD PMT and the PDPB for consideration in the enhancement of the Harmonized PC and review of the OPCRs.

B.2. At the OBS and Employees' Level

A. The parties (proponent and approving authority/Supervisor) shall carry out a process of consultation to monitor/track extent by which plans are being met. Challenges that adversely impact or are delaying accomplishment of the target shall be managed accordingly. The Performance Monitoring and Coaching form as well as the Summary of PC Checkpoint and Monitoring Agreements form (found in Annex E and F respectively) shall be used to assist in documenting the performance checkpoint.

A thorough monitoring checkpoint shall be done in the middle of the rating period

- June-August for Offices and
- July-September for Officials/rank and file.

At least one meeting during the performance period is recommended - this shall serve as an opportunity for Supervisors to engage their subordinates to review plans/commitments and act on possible issues/concerns. Coaching and mentoring shall be exercised by the Ratee's superior to the ratee in order to provide an enabling environment to manage/develop individual performance for the improvement of team performance.

The PMS Secretariat shall provide the necessary guidance to OBS and individuals regarding this mid-year checkpoint¹⁶.

B. Based on the results of the monitoring, adjustments may be made with the concurrence of the approving authority. An adjusted Performance Contract form shall be accomplished using OPC/IPC templates found in the Annexes. Copies of Adjusted OPCs shall be provided to the PDPB while Adjusted IPCs shall be provided to the HRBD (in the case of Field Office personnel, the HR Unit). The changes shall be duly recommended by the Coach Monitor/immediate supervisor (if applicable) and approved by the superior Rater by September 30.

C. Copies of the adjusted and duly approved IPCs and OPCs shall be submitted to the HRDB/HR Unit and PDPB/Planning Unit respectively.

D. In cases where an employee is promoted, transferred or re-assigned to another office/bureau/service, the said employee shall amend his/her IPCR to include the expected outputs and performance indicators/measures of his/her new functions.

E. In cases where an employee stays in a position in an Office for less than three months, the performance evaluation MAY be dispensed with in favor of an assessment/certification from the superior regarding his/her performance.

¹⁶ The PMT shall discuss the process on checkpoint for OBS. The Secretary or designated representative shall give guidance on the Checkpoint of the Officials.

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C. PERFORMANCE REVIEW AND EVALUATION

This is the stage where accomplishments of performance are evaluated based on success indicators identified for commitments made during the Performance Planning and Commitment stage. The PMT may modify the manner of rating and procedure on how this stage will be executed after each performance/rating period to ensure that the execution of the DSPMS remains true to its objectives.

C.1. At the Department Level

An overall agency performance review shall be conducted annually for the purpose of discussing general Agency accomplishments (physical and fiscal). Basis shall be performance measures set by Oversight Agencies and collective performance of OBS. This activity may coincide with the annual work and financial planning, NMDC, OBS' assessments including efficiency of budget utilization, etc. The PPG and GASSG shall be the lead Offices.

A process of Strategy Review shall be put in place and initiated/facilitated by the OSM, PPG with the EXECOM to deliberate on the Department's performance particularly those enunciated in the Enterprise Scorecard, Strategic/Corporate Plan. This review is a top management level mechanism which examines the key strategic issues related to the rationale, relevance, effectiveness, impact and feasibility of the strategies in order to fine-tune the strategy and make mid-course adaptations or adjustments as necessary. It may entail adjustment to these plans including the Medium Term Expenditure Plan. Discussions concentrate on whether the strategy execution is on track, tracing the sources and causes of implementation gaps, recommending corrective actions, and assigning responsibility for achieving the targeted performance as differentiated from the usual operations review.

The strategy review takes into account current and emerging developments and challenges in the internal and external context of the Department as a basis for sound and informed decision-making. This includes consideration of the developments in the sectors that the Department hopes to contribute to and the related international, national, sectoral, and sub-sectoral commitments the Department has, e.g. international treaties on the fulfillment of the rights of children, youth, women, persons with disabilities, senior citizens and families, the MDGs, the Philippine Development Plan, Major Final Outputs set by the DBM, and various national laws and sectoral plans that protect and promote the rights and welfare of the target sectors.

C. 2. At the OBS Level

PREW or Operations Review, whichever is appropriate, shall be conducted by OBS towards the end of the year to assess the programs and project implementation, highlight good practices and to address issues and concerns which should be used as inputs for the Performance Commitment and Planning of the succeeding calendar year. Department guidelines for this purpose shall be followed.

OPC-PRE session – to the extent possible, the PRE sessions will be conducted by a Panel chaired by the Secretary or his/her authorized representative. The Panel shall be composed of the following:

- 1 representative from each Cluster and
- 1 representative from the OBS tasked to monitor a particular key result that has been required of most Offices or is in the Harmonized PC.

1. The schedule of OPCR PRE session of Heads of Offices shall be set by the Cluster Head/Rater with the assistance of the PMS Secretariat (PDPB).
2. The Ratee (HOBS) shall accomplish the *Actual* vis-à-vis the *Performance Indicator/Measure* column on the OPCR (Annex G) indicating a self-rating using the 1-5 Rating Scale.

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Table 2. Rating Scale Reference

Numerical Rating	Adjectival Rating	Description
5	Outstanding	<p>Performance represents an <u>extraordinary level of achievement</u> and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance should have demonstrated exceptional job mastery in all major areas of responsibility. Employee achievement and contribution to the organization are of marked excellence which far exceeds the expectations; has extended beyond the assignment, and accomplishment is considered a model for excellence or best practice.</p> <p>Performance met expectations by 101% and above the planned targets.</p>
4	Very Satisfactory	<p>Performance exceeded expectations. All goals, objectives and targets were achieved above the established standards, more than acceptable, very effective and efficient.</p> <p>Performance met expectations by 76% - 100% of the planned targets.</p>
3	Satisfactory	<p>Performance met required standards and expectations in terms of quantity, quality and timeliness. Most critical annual goals were met.</p> <p>Performance met expectations by 51%-75% of the planned targets. However, if it involves deadlines as required by law, it should be 100% of the planned targets.</p>
2	Unsatisfactory	<p>Performance failed to meet expectations; one or more of the most critical goals were not met. This will require close supervision in the succeeding rating period.</p> <p>Performance only met 26% to 50% of the planned targets and failed to deliver one or more critical aspects of the targets.</p>
1	Poor	<p>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.</p> <p>Performance is only 25% and below of planned targets</p>

Note: Guides on the application/use of the rating to specific targets shall be provided by the PMT at the recommendation of the PDPB for OPCRs and the HRDB for IPCRs

3. Prior to presentation of accomplishments, the Ratee shall provide an overview or situationer of his/her Office given the rating period (e.g. Regional situationer highlighting SP concerns).
4. During the PRE session, the immediate supervisor – Coach Monitor with the Cluster Head/Deputy Project Director and invited resource person/s – shall review accomplishments and concur or adjust the self-rating indicated by the Ratee.
5. The cluster representatives shall take note of issues and concerns relating to key results applicable to their cluster including articulation of performance indicators.
6. Each Cluster Head shall champion the ratings each have given to the respective OBS under them and deliberate amongst such. This shall ensure validation of performance and leveled-off assessment for each OBS.
7. The PDPB shall provide each OBS and the HRDB the final Office performance rating to serve as basis of Offices in the assessment of their staff.

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Performance evaluation of the Offices shall be completed not later than March of the succeeding performance period.

C.3. At the Employee Level

PRE shall be completed within the first quarter. The Employees shall accomplish the IPCR by providing actual accomplishments and include a self-rating based on the rating scale below.

Performance shall be based on two components, the “functional” part which is captured in the IPCR and “behavioral” part which shall be captured by a behavioral tool designed for the purpose.

For Officials (Undersecretary, Assistant Secretary, HOBS and Head Executive Assistant)

A one-on-one IPCR PRE session shall be conducted between the Rater and Ratee.

1. The Secretary or Cluster Head shall set the schedule of the IPCR session within his/her Cluster.
2. The Official-Ratee shall accomplish the *Actual* vis-à-vis the *Performance Indicator/Measure* column on the OPCR indicating a self-rating using the 1-5 Rating Scale.
3. The Secretary or designated representative shall review accomplishments in the IPCR, provide guidance to the Ratee and give the final rating.
4. The Head Executive Assistant or designated confidant of the official will submit to HRDB result of IPCR session.
5. Behavioral performance of Officials shall be assessed using the Competency Assessment Tool (CAT). The CAT captures the core and leadership competencies adopted by the DSWD following its brand of “Matapat, Mahusay at Magiliw”. Scores from these shall be used accordingly and will comprise a percentage of the final performance rating of the official. The Raters shall indicate qualitative comments, observations and recommendations on the performance of the individual during the performance period as feedback to commend or improve leadership performance. This may be used as input to help develop appropriate capability building interventions.
6. The results of the CAT shall be used internally - this will not replace the behavioral tool that is stated in the CESPES following the CES leadership competencies required by the Career Executive Service Board.

At the Employees Level –

For those designated as Assistant Directors or equivalent positions and Rank and File

1. The Ratee (Assistant Director/employee) shall accomplish the “Actual” part of the IPCR using the 1-5 Rating Scale to come up with a self-rating (Annex H).
2. The immediate supervisor shall assess individual employee performance based on the commitments made in the IPC or adjusted IPC. Performance ratings shall be based on records of accomplishment.
3. The employee's assessment shall be discussed by the immediate supervisor with the Ratee prior to the submission of the IPCR form to the Rater (HOBS) who shall determine the final assessment based on proof of performance.

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4. A copy of the completed/approved IPCR shall be submitted to the HRDB or HR Unit in the Field Offices for records purposes. It shall be used as input/basis for:
 - Promotion;
 - Capability building needs;
 - PRAISE Committee in determining excellent performers worthy of nominations to awards and recognition;
 - Financial incentives (e.g. Productivity Incentive Bonus, Performance Based Incentive, etc.), among others.
5. In cases where an employee is promoted, reassigned or transferred, he/she will be rated by the immediate supervisors of the Office he/she was/is assigned to. Considering that performance ratings shall be provided for those who have rendered at least three (3) months service in a particular office, an employee shall be rated in the office where he stayed longer.
6. Individual Employees who get a performance rating of Unsatisfactory and below shall be informed in writing by the immediate supervisor or Rater. Failure to inform their subordinates in writing/email for their unsatisfactory or poor performance immediately after the rating period shall be grounds for administrative offense.

C.4. Performance Rating

For OPCR, the following shall be the weight allocation per section.

Table 3. Office Performance Rating: Weight Allocation

Areas/ Sections	FOS	Strategic Offices	Support Offices	EXECOM Offices
Strategic Priorities	50%	50%	35%	35%
Core functions of HOBS	35%	40%	55%	40%
Secretary's Directives	15%	10%	10%	25%
Total	100%			

For Officials IPCR, the following shall be the weight allocation per section.

Table 4. Composition of Final Performance Rating per Official

Areas/ Sections	FOS	Strategic Offices	Support Offices	EXECOM Offices
Strategic Priorities	50%	50%	35%	35%
Core functions of HOBS	35%	35%	50%	35%
Leadership and Managerial	15%	15%	15%	30%
Total	100%			

In case of rank and file employees, no weight allocation is required as they are all being rated solely on results/accomplishment of IPCR targets.

Please note that the above weight allocations (Tables 3 and 4) can be changed given the situation/context in which the DSWD is operating in a given period. Any changes to the weight allocations will be recommended to the Secretary for her/his approval.

1. For OPCR and IPCR of officials, steps in the computation of rating shall be:
 - a. Compute the Average Rating by averaging the scores in all performance indicators - unless otherwise indicated¹⁷.
 - b. Compute the Total Average Rating by averaging all scores under Average Rating per section.
 - c. Compute the Weighted Rating by multiplying the Total Average Rating with the percentage weight per section.

¹⁷ There will be occasions where the performance indicator will be stated as success indicators. It is possible that there will only be one rating to be given.

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- d. For the Final OPCR or Officials' IPCR rating, add all the Weighted Ratings.
2. For IPCR of rank and file, steps in the computation of rating shall be:
 - a. Compute the Average Rating by averaging the scores in all performance indicators.
 - b. For the Final Average Rating, average all scores under the Average Rating column.

C.5 Appeals

1. Appeal/issue on the results of performance ratings may be raised by the employee to his/her supervisor, HOBS or with the HRDB or a third party for counseling or mediation.
 - a. The supervisor/HOBS/counselor or mediator with the Ratee shall aim for a constructive agreement on the rating to maintain a good working relationship within the Office.
 - b. Decisions on rating performance shall be based on evidence presented.
2. The employee must be given a notice of their performance rating based on the discussions/negotiations. If no agreement or resolution is reached at the level of the employee with the HOBS (with or without a third party), the issue/appeal shall be elevated to the PMT within 7 working days from the date of the employee's receipt of notice of their performance rating.
3. The PMT must reach a decision about the appeal within seven (7) days from receipt of the appeal.
4. Officials or regular employees who are separated from the service on the basis of Unsatisfactory or Poor performance after 2 consecutive rating periods can appeal their separation to the CSC within 15 days from receipt of order or notice of separation. The highest level of appeals for non-regular employees is at the PMT, therefore, all appeals of non-regular employees must be resolved at the PMT level.

C.6 Managing Under Performance (Personnel Development Actions)

Employees who obtain Unsatisfactory/Poor rating for one rating period or need improvement shall be provided the appropriate intervention/s by the immediate supervisor and/or the Head of the Office/Bureau or Service to address the reason for such low performance (e.g. competency-related performance gaps, personal issues). The following shall be applied to employees with low performance ratings:

Adjectival Rating	Personnel Development Action	Remarks
1 unsatisfactory rating	Engage employee in a conversation to determine potential cause of low performance. Identify and agree on specific actions that can be pursued to improve performance. These may be in the form of coaching, mentoring, training, psych-social processing, etc. Employee shall be coached or provided with developmental intervention/s to improve performance.	Supervisors/Superiors (DCs and/or HOBS) shall seek to address performance issues while employees are tasked to participate in this process. Failure by either party to exercise these responsibilities without justifiable reasons may be grounds for disciplinary action.
2 consecutive unsatisfactory ratings	May warrant dropping from the roll of employees through due process	Employees may appeal decisions on their ratings
1 poor rating	May warrant dropping from the roll of employees through due process	Employees may appeal decisions on their ratings

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D. PERFORMANCE REWARDING AND DEVELOPMENT PLANNING

This stage focuses on rewards/incentives for Officials and employees as mandated by law and that are anchored on the results of the performance assessments or performance review and evaluations.

1. Results of the performance evaluation shall be used to provide reinforcement or sustain good performance through incentive, reward and recognition systems for employees and Offices as a whole, and to identify good practices for sharing and/or replication.
2. Action plans shall be developed to address performance gaps. OBS shall analyze the factors resulting to failure or poor performance. Factors may be identified such as lack of staff complement and competencies, ineffective processes, systems and organizational structure, etc. Poor staff performance ratings shall be used as inputs to training needs assessment and recommendation for career and development planning. While ineffective systems shall be re-strategized and improved by the OBS with their Coach Monitor/Supervisor.
3. Part of the individual assessment is the competency assessment against the competency job requirements. Coaching and mentoring shall be conducted to discuss the strengths, gaps and the opportunities and capability building/development interventions to address gaps. The development of interventions shall be conducted in coordination with the HRDB and CBB (or their counterparts in the Field Offices). The result of the competency assessment shall be treated independently of the performance rating of the employee. A performance rewarding and development plan (Please see Annex I for the template) shall be outlined with the interventions and monitored, to improve employee performance particularly those with poor performance.

PERFORMANCE-BASED INCENTIVES

It needs emphasizing that good and effective performance is the underpinning of merit and fitness to the job, as well as security of tenure in the civil service. Below is a list of incentives that are provided by law based on the level of performance of officials, employees, and OBS as measured by this system.

A. Productivity Incentive Bonus

Pursuant to the provisions of the General Appropriations Act (GAA), a productivity incentive bonus (PIB) shall be granted to Officials and employees based on the following ratings:

Adjectival Scale	Numerical Scale	PIB Amount
Outstanding	4.20 – 5.00	PhP 2,500
Very Satisfactory	3.40 – 4.19	PhP 2,000
Satisfactory	2.60 – 3.39	PhP 1,500
Unsatisfactory	1.80 – 2.59	None
Poor	1.00 – 1.79	None

B. Step Increment due to Meritorious Performance

In line 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, step increment due to meritorious performance shall be given to top ranking 5% of officials and employees. If qualified, step increment shall depend on the employee's performance rating:

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- 2 step increment if Outstanding and
- 1 step increment if Very Satisfactory.

C. Program on Awards and Incentives System for Employees (PRAISE)

Officials and employees with exemplary performance shall be nominated, recognized and/or rewarded according to the Program on Awards and Incentives for Service Excellence (PRAISE) or MC No. 03, series 2003. These include awards for loyalty or service to the Department.

D. 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.

E. Considerations regarding Promotions and Incentives

a. Official Travel and Approved Leaves

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 or three (3) consecutive months shall submit the performance commitment and rating report before they leave the office for their official travel. For those with rating period below 90 days, the annual rating in the preceding period shall apply for personnel actions such as application for promotion/other position.

For purposes of benefits/bonus excluding PBB, employees who are on official travel, scholarship or training within a rating period shall use the preceding annual performance rating.

b. Secondment

Employees who are on detail or secondment to another office shall be rated in their present or actual office, copy furnished their mother 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 original office (where the employee's plantilla item or source of funding) or present office of deployment, where the employees have spent majority of their time during the rating period.

F. Others

Performance review and evaluation results are also used as basis or inputs for personnel actions and opportunities for professional growth such as promotion, capability building/training, scholarships, productivity bonuses, among others.

VII. COVERAGE

A. All of Agency

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

The Department's performance shall be determined based on performance standards/metrics (e.g. MFOs under the OPIF, Good Governance Conditions under EO No. 80) established by Oversight Agencies (e.g. National Economic and Development Authority, Department of Budget and Management), the Office of the President and other relevant bodies.

B. Offices, Bureaus, Services and Units (OBSs) (includes Field Offices and Executive Offices)¹⁸

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

¹⁸ Attached agencies are under the technical supervision of the DSWD, and hence are not covered by this AO.

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C. Individual Personnel

Covered are Officials and employees who are incumbents of career, non-career, casual and contractual positions in the Department.

Those hired under Memorandum of Agreement (i.e., MOA, contract of service workers, job orders) shall be covered by these guidelines¹⁹ specifically in ensuring an objective basis for the renewal of contract or as reference for hiring in other positions within the Department. The Terms of Reference of the MOA worker shall be translated into specific key results or performance targets with corresponding performance indicators or success indicators. It is the responsibility of the hiring office to retain workers that can effectively deliver the terms of their contract.

Consultants are not covered by this guideline.

All Officials and the Rank and File shall be collectively referred to as "employees or personnel" in this document.

1. Officials – incumbents of third level positions or its 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.

VIII. KEY PLAYERS AND INSTITUTIONAL ARRANGEMENTS

A. DSWD Performance Management Team (PMT)

1. All Undersecretaries/Cluster Heads of the Department. The Undersecretary of the Institutional Development Group (IDG) and the Policy and Plans Group (PPG) shall act as Chairperson on an alternating basis every two (2) years. Since the Chairmanship is between the PPG and IDG, the Vice-Chairperson shall be voted among the remaining Cluster Head PMT members every 2 years.
2. Director, Policy Development and Planning Bureau (PDPB)
3. Director, Human Resource Development Bureau (HRDB)
4. Director, Office of Strategy Management (OSM)
5. Director, Research, Monitoring and Evaluation Office (RMEO)
6. Director, Capacity Building Bureau (CBB)
7. Director, Financial Management Service (FMS)
8. President of the Social Welfare Employees Association of the Philippines (SWEAP) or the accredited employees association.

The PMT shall perform the following functions:

1. Oversee tasks related to the effective implementation of the DSPMS, specifically:
 - a. Propose a synchronized calendar for DSPMS activities, in consultation with various OBSUs and FOs, for approval of the Department Secretary;
 - b. Review and enhance the existing PMS to ensure a results-based PMS that is anchored on the agency's mandate and strategic goals;
 - c. 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, key result areas, major final outputs and performance indicators;

¹⁹ Benefits and incentives will be granted shall be subject to existing rules and regulations.

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- d. Ensure alignment or translation and cascading of organizational commitments (as captured in the strategic goals, medium term plans, corporate plans, MTEP, annual WFP, etc.) to the different levels in the agency;
2. Enhance assessment tools including guidelines for its administration;
3. Assist the Secretary in overseeing the performance of OBS and FOs in setting the criteria to rank offices and individuals for the grant of performance-based incentives;
4. Update the organizational performance template (i.e. Harmonized PC) Indicators as basis for office performance. The Harmonized PC contains a menu of performance target and indicators which offices can use as reference for targeting.
5. 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;
6. Develop a communication strategy to enable DSWD officials and staff to better understand the DSWD SPMS especially in linking individual targets and performance to the overall Office performance;
7. Report to the EXECOM on the implementation status and concerns regarding performance management and submit recommendations to that will ensure the DSPMS is implemented effectively;
8. 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 DSPMS meets its objectives;
9. Adopt its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberation, delegation of authority to representatives in case of absence of its members.

In the **Field Offices**, the Regional MANCOM shall act as the Regional PMT together with the FO-PMS Focal Person and Regional SWEAP Representative. They shall perform the following functions:

1. Set consultation meeting of all HOBS for the purpose of discussing the targets set in the office performance commitments and rating forms;
2. 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;
3. Act as appeals body and arbiter for performance management issues;
4. Identifies potential top performers and provide inputs to PRAISE Committee for the grant of awards and incentives;
5. 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;
6. 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.

B. Heads of Offices/Bureaus/Services (HOBS) including the Cluster Heads

1. Assume primary responsibility for performance management in his/her Office;
2. Conduct planning sessions with the supervisors and staff to agree on the outputs that should be accomplished based on goals/objectives of the organization;
3. Prepare and submit accomplished OPC/R Form to the PDPB;
4. Review and concur/approve Individual Performance Contract and Review Form (IPCR) of employees;
5. Does initial assessment of Office performance using the approved OPCR Form;
6. Determine the final performance assessment of individual employees in his/her Office based on proof of performance;

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7. Inform employees (in writing) of their final ratings in coordination with immediate supervisor and identifies necessary interventions for employees based on the assessment of developmental needs;
8. Identify potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives;
9. In coordination with supervisor of staff, inform in writing subordinates who obtain Unsatisfactory or Poor rating and plan appropriate intervention to manage performance;
10. Designate an Office PMS focal person for matters involving the implementation of the DSPMS;
11. 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;
12. Upon request of a Rater, participate as resource person in the performance assessment exercise of an Office, Bureau or Service.

C. Division Chief or Equivalent

1. Assume joint responsibility with HOBS in ensuring attainment of performance objectives and targets;
2. Rationalize distribution of targets/tasks among subordinates in the Division/Unit/Project Office;
3. Monitor the performance of subordinates and provides support/assistance through coaching in order to meet performance targets;
4. Evaluate employees' performance/accomplishments;
5. Recommend developmental intervention/s if needed and provide support/guide the employee during its implementation; and
6. Provide feedback with regard to the implementation of the DSPMS and recommendations to improve it.

D. Employee/Personnel

1. Act as 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);
2. Accomplish and submit IPC/R Form;
3. Cooperate and participate in activities or programs that will enhance ability to perform assigned job;
4. Provide feedback with regard to the implementation of the DSPMS and recommendations to improve it.

E. PMS Focal Person

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

1. Attend meetings and other activities related to DSPMS implementation, review and enhancement;
2. Re-echo instructions, requirements, plans and agreements in the PMS-related meetings and activities within his/her OBS/FO;
3. Administer to Raters and process completion of behavioral tools and other forms related to PMS requirements; and
4. Assist the HOBS for the submission of performance documents (i.e., OPCs/IPCs and Reviews) to HRDB or FO counterpart for Individual level; to PDPB or FO counterpart for Organizational level.

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F. Performance Management Team Secretariat

a. Organizational/Office Level

In the Central Office, the PDPB shall be responsible for leading and overseeing the implementation of the DSPMS at the Organizational (all of agency) and Office level. The PDPB and its FO counterpart in coordination with PDPB, shall act as the Secretariat and shall perform the following:

1. Assist in the formulation of Department Strategic Plan, Objectives and/or goals for the medium and long term and its review for enhancement as needed.
2. In coordination with the FMS, assist OBS in defining 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;
3. Monitor and report status of accomplishments of the Department to the Secretary, Executive Committee and as required by pertinent oversight agencies (e.g. Major Final Outputs, Overall Results Framework, etc.);
4. Ensure that OBS' performance targets, measures, and budget are aligned with those of the Department and that work distribution among OBS are rationalized;
5. Guide HOBS and provide technical assistance to FOs in the preparation of the Office Performance Contracting and Review Form;
6. Provide technical and secretariat services during OBS performance review and evaluation and OPC Performance Checkpoint of both CO and FOs as needed;
7. As directed/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;
8. Prepare appropriate reports relative to the accomplishments of the Department and the implementation of the Department SPMS at the organizational level; and
9. Issue directives, guides or protocols to facilitate the implementation of the DSPMS.

b. Individual Level

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

1. Provide assistance and issue reminders in the preparation of Individual Performance Commitment and Review (IPCR) forms including the computation of scores/performance ratings and the accomplishment of other related forms;
2. Review/Validate the computation of Individual Performance rating;
3. Prepare appropriate reports relative to the implementation of the DSPMS at the Individual level and submit to appropriate authorities;
4. Analyze performance of officials and employees and identify areas of competence, improvement, and gaps and recommend possible interventions to leverage and manage these;
5. Collect, organize and maintain file or record of performance ratings of officials and employees;
6. Coordinate with the Career Executive Service Board (CESB) to comply with the Career Executive Service Performance Evaluation System (CESPES) of Officials;
7. Coordinate with the CSC as needed to ensure proper and effective implementation of the DSPMS

c. Field Office Level

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In the Field Offices, the Regional PMS Secretariat designated by the Regional Directors shall:

1. as applicable, implement the functions stated above for organizational and individual performance;
2. Coordinate with Central Office regarding schedule of performance planning, checkpoints, performance evaluation, among others;
3. Collect, organize, document, secure and maintain files or records related to PMS.

H. Head of PMT Secretariat (HOS)

The HOS shall be lodged in the Office of the Chairperson of the PMT and shall function as follows:

1. Prepare and finalize the guidelines for the evaluation of individual and office performance;
2. Enhance and finalize the behavioral tools including guidelines for its administration;
3. Assist the PMT Chair in overseeing the performance of OBSUs/FOs and in setting the criteria to offices and individuals for the grant of performance-based incentives;
4. Submit special reports to the PMT Chair on the implementation status and concerns regarding performance management that have to be acted upon or decided by the PMT, MANCOM and/or EXECOM; and
5. Convene the PMT Members during regular/special PMT meetings and prepare necessary documents/correspondence relative to this.

IX. SANCTIONS

Any violation of any provision in this Order shall be dealt with in accordance with existing DSWD and Civil Service rules and regulations.

Unless justified and accepted by the PMT, non-submission of the OPC/R and IPC/R to PDPB and HRDB within the specified dates and non-compliance of the provisions stated herewith shall be grounds for:

1. Deferment of performance-based personnel actions such as promotion, training or scholarship grants, performance incentive bonus, and merit increase, if failure of the submission is the fault of the employees;
2. Administrative sanction, if applicable, or for violation of reasonable office rules and regulations and simple neglect of duty of the supervisors or employees responsible, or for the delay or non-submission of the OPC/IPC Review Report;
3. Administrative sanction, if applicable, or for failure on the part of the HOBS to comply with the required notices to subordinates for unsatisfactory or poor performance during a rating period (i.e., Neglect of duty);
4. Dropping from the rolls or dismissal from the service.

X. EFFECTIVITY

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.

**ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the
Establishment and Implementation of Agency SPMS**

Issued in Quezon City, this _____ day of _____ 2015.

CORAZON JULIANO-SOLIMAN
Secretary

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX A: Roles of Offices on PMT

Office	Roles
Office of the OSEC Group (OSG)	Responsible for policy decision/directives on strategic planning and alignment of goals and monitoring of Field Offices' operations and performance
Policy and Plans Group (PPG)	Responsible for policy decision/directives on organizational and office performance management and overall setting of agency thrust and priorities, performance goals, objectives and measures
Operations and Programs Group (OPG)	Responsible for linking of DSWD to the different sectors the DSWD serves; providing feedback to PDPB and OSM the realities/situation of these sectors to enhance/develop performance indicators and setting organizational priorities
Institutional Development Group (IDG)	Responsible for policy decision/directives on alignment and linking of individual performance to office performance management
General Administrative and Support Services Group (GASSG)	Responsible for policy decision on DSWD strategic support services, organizational budget and performance-based incentive benefits
Policy Development and Planning Bureau (PDPB)	Responsible for the Office Performance Contract (OPC) planning, review, checkpoint and evaluation of Offices and the Department
Research Monitoring and Evaluation	Responsible for the monitoring and evaluation at the organizational level
Finance Management Service (FMS)	Responsible for provision of accurate information the DSWD budget and financial requirements (budget allocation, utilization)
Human Resource Development Bureau (HRDB)	Responsible for Individual Performance Contract (IPC) planning, review, checkpoint and evaluation of officials and rank and file employees
Capacity Building Bureau (CBB)	Responsible for the design or implementation of capability building activities relative to the roll out of the DSPMS in coordination with pertinent PMT members or the PMT Focals/Secretariat.
Office of Strategy Management (OSM)	Responsible for crafting strategic plans and aligning organizational goals and performance.
SWEAP	Responsible for engaging personnel in PMS, elevating concerns and recommendations in performance management

Note: The PMT and roles of members may change subject to approval of the Secretary and the recommendation of the PMT.

[This form should be accomplished per Office/Bureau/Service, by the Director/Head of Office and submitted to PDPB by January for the performance planning stage.]

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ANNEX B: OPC Form

Office Performance Contract (OPC)
Name of Office/ Bureau/Service
CY 20

The _____ (Name of Office/Bureau/Service) of DSWD, commits to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the rating period January-December 2014.

KEY RESULT AREAS	SUCCESS INDICATORS	ALLOTED BUDGET	ACCOUNTABLE DIVISION/ INDIVIDUALS
A. STRATEGIC PRIORITIES			
B. CORE FUNCTIONS/ OTHER KRAs			
C. SECRETARY'S DIRECTIVE			
TOTAL PERCENTAGE	100%		

Submitted By:

Ratee/Official

Noted by:

Approved by:

Signature over Printed Name of Coach-Monitor/Cluster Head
Date:

Signature over Printed Name of
Rater/Cluster Head/Secretary

[This form should be accomplished by the Official and submitted to the PDPB by January-February for the performance planning stage.]

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ANNEX C: IPC Form for Officials

**Individual Performance Contract (IPC) for Officials
CY 20**

Name of Ratee: _____
Position/Office: _____

KEY RESULT AREA/ KEY RESULTS	WEIGHT ALLOCATION (per section)	SUCCESS INDICATOR (may be stated as Quantity, Quality, Timeliness)
I. STRATEGIC PRIORITIES <i>(Please leave blank. The rating for this section will be derived from the score/rating in the OPCR.)</i>		
II. KRA/CORE FUNCTIONS of the HOBS <i>Please use the "Master IPC for Officials" as a reference for some possible targets/indicators.</i>		
III. LEADERSHIP AND MANAGERIAL COMPETENCIES <i>Mahusay Magiliw Matapat</i> <i>(Please leave blank. Performance rating will be based on the Leadership and Managerial Competency Assessment Tool [LMCAT])</i>		
TOTAL	100%	

Prepared by:

NAME OF OFFICIAL
(signature over printed name)

Recommending Approval:

CLUSTER HEAD
(signature over printed name)

Approved by:

SECRETARY
(signature over printed name)

[This form should be accomplished by the rank and file and submitted to the HRDB by January-February for the performance planning stage.]

Instruction: The Individual Performance Contract (IPC) is a tool used to plan individual's targets and major contribution/role to his/her office for the rating period and set performance indicators/measures: quantity, quality and time. Please fill-in the columns and indicate the following:

- **Key Result Area** - specify only mission critical outputs, end result of your functions/tasks or what is to be delivered.
- **Success/ Performance Indicator/Measure** - specify the target indicators of performance in terms of Quantity (number or percentage of accomplishment), Quality (standard of accomplishment) and/or time (timeliness/date of accomplishing results/turnaround time).

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ANNEX D: IPC Form for Rank & File

**INDIVIDUAL PERFORMANCE CONTRACT
For Rank & File
CY 2014**

Name: _____
Position/Office: _____

KEY RESULT AREA/ Program, Activity, Project/ Deliverable	Success/ Performance Indicators/Measures (Quantity, Quality, Time)

Prepared by:

Concurred by:

(Name of Ratee)
(Position)
Date: _____

(Name of DC/Supervisor)
(Position)
Date: _____

(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX E: Performance Monitoring and Coaching Form

Instruction: This Form is basically the Office/Individual Performance Contract with additional three (3) columns. Please fill-in the columns and indicate the following:

- a. Progress using the symbols below :

Symbol	Status of Targets
✓	Done or sure to be delivered by December 2013
?	Has challenges and needs help to deliver targets

- b. Status of the target (e.g. actual number or percentage of current accomplishment (60% or 60 out of 100); actual qualitative accomplishment based on performance indicator (Guidelines/Report/comments drafted/for finalization/endorsed to OBS-CO/Secretary);
c. Remarks or comments on the performance indicator, challenges encountered to accomplishing the target, facilitating factors, suggestions, or proposed changes, etc.

PERFORMANCE MONITORING AND COACHING

(Name of Office/Bureau/Service)

CY _____

KEY RESULT AREA	Performance Success Indicators	Allotted Budgetary	Accountable Division	✓ or?	Status/ Progress	Remarks

Prepared by:

Concurred by:

(Name of Ratee)
(Position)

(Name of Supervisor/Coach)
(Position)

Name of Cluster-Head/Rater
(Position)

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX F: Summary of PC Checkpoint and Monitoring Agreements Form for Officials

Instruction: This form is the summarized PC Monitoring and Coaching Form reflecting only the targets with the proposed amendments and justification on the Office/Individual Performance Contract (OPC/IPC). Please fill-in the columns:

**SUMMARY OF PC CHECKPOINT AND MONITORING AGREEMENTS FORM
FOR OFFICIALS**
[Office / Individual]
(Name of Office)
CY _____

Original Key Result/ Performance Indicator/ Target (based from approved PC)	Proposed AMENDMENT to Key Result/ Target	JUSTIFICATION (Reason for amendment)	Recommendation of Coach-Monitor and/or Rater (Approved/ Disapproved/ Remarks)

Prepared by:

Name of Official
(Position/Designation)
(Date)

Concurred by:

Name of Coach-Monitor and Rater
(Position-Designation)
(Date)

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

Annex G: OPCR Form

[This form should be accomplished per Office/Bureau/Service, by the Director or Head of Office and submitted to the PDPB by January-March of the succeeding year for the performance evaluation stage.]

Instructions: This Form is the Office Performance Contract with an additional three (3) columns. Please fill in the columns and indicate the following:

- Actual Accomplishments: e.g. actual number or percentage of current accomplishment (60% or 60 out of 100); actual qualitative accomplishment based on performance indicator (Guidelines/Report/comments drafted/for finalization/endorsed to OBS-CO/Secretary);
- Ratings (for Quantity, Quality, Time and Average Rating)
- Remarks or comments on the performance indicator, challenges encountered to accomplishing the target, facilitating factors, suggestions, or proposed changes, etc.

OFFICE PERFORMANCE CONTRACT AND REVIEW

(Name of Office/Bureau/Service)

CY _____

I, _____, committed to deliver and agree to be rated on the attainment of the following targets and indicators for my Office.

KEY RESULT AREA/ Major Final Output/ Program, Activity, Project	Weight Allocation	Success/ Performance Indicators/Measures (Quantity, Quality, Time)	Allotted Budget	Accountable Division/Unit	Actual	Rating				Remarks
						Qn	QI	T	Av e.	
Final Average Rating										
Adjectival Rating										

Submitted by:

(Name of Ratee)
Director/ Date: _____

Concurred by:

(Name of Coach Monitor)
(Position)/ Date: _____

Rating Approved by:

(Name of Rater)
(Position)/Date: _____

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX H: IPCR Form

[This form should be accomplished by officials/rank-and-file employees and submitted to the HRDB by February of the succeeding rating period for the performance evaluation stage.]

INDIVIDUAL PERFORMANCE CONTRACT AND REVIEW

(Name of Office/Bureau/Service)

CY _____

I, _____, commit to deliver and agree to be rated on the attainment of the following targets and indicators for my duties.

KEY RESULT AREA/ Program, Activity, Project/ Deliverable	Success/ Performance Indicators/Measures (Quantity, Quality, Time)	Actual	Rating				Remarks
			Qn	QI	T	Ave.	
Final Average Rating							
Adjectival Rating							

Prepared by:

(Name of Ratee)
(Position)
Date: _____

Concurred by:

(Name of DC/Supervisor)
(Position)
Date: _____

(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX I: Performance Rewarding and Development Plan Form

[This form should be accomplished by concerned employee with his/her Supervisor and Director/Head and submitted to the HRDB upon completion of the IPCR rating or by 1st quarter after the rating period for the performance developmental planning stage.]

PERFORMANCE REWARDING AND DEVELOPMENT PLAN

(Name of Office/Bureau/Service)

CY _____

Job Requirements	Current Competency Level/ Baseline	Aim/ Plan/ Target Steps	Target Date	Results of Target	Remarks/ Next Steps
Education:					
Training:					
Eligibility:					
Experience:					
Competencies:					

Prepared by:

(Name of Ratee)
(Position)
Date: _____

Concurred by:

(Name of DC/Supervisor)
(Position)
Date: _____

(Name of Director/HOBS)
(Position)
Date: _____

ANNEX 13: DSPMS Guidelines according to the CSC Guidelines on the Establishment and Implementation of Agency SPMS

ANNEX J: List of Plans and Reports Prepared by the Department

PLANS	REPORT REQUIREMENTS	MONITORED/CONSOLIDATED BY:	SOURCE OF DATA
International Commitments/MDGs/Post 2015 Agenda	Universal Periodic Review (UPR) MDGs, Updates on Conventions, UN Reports, etc.	PDPB, PPG	OPG (NPMO, PSB, DRRROO), OSG (FOs) PPG (PDPB, NHTO, RMEO)
President's Agenda	Cabinet Secretary's Planning Tool	Office of the Secretary, PDPB	OSM, PDPB, OPG (NPMO)
Philippine Development Plan – Social Protection	Results Matrix	PDPB	OPG (NPMO, PSB, DRRROO), OSG (FOs) PPG (PDPB, NHTO, RMEO)
Reform Agenda - SWDRP	Medium-Term Expenditure Plan	RMEO, FMS	All FOs and Select OBS
Strategy Map – Strategic Goals and Initiatives	Agency Scorecard, OBS Scoreboard, Initiatives Profiles	OSM	All FOs and Select OBS
Major Final Outputs	MFO Reporting Forms, URBME Forms	PDPB	All FOs and Select OBS
Work and Financial Plan	Budget Reports, Agency Performance Matrix, BED/BAR	FMS, PDPB	All FOs and All OBS
Program/Activities/Projects	Activity Proposals	All OBS	All FOs and All OBS