

POLYTECHNIC UNIVERSITY OF THE PHILIPPINES
Human Resource Management Division

PERFORMANCE EVALUATION SYSTEM

Pursuant to the provisions of Rule IX of the Omnibus Rules Implementing Book V of Executive Order No. 292, which took effect on February 14, 1992, the Performance Evaluation System is hereby established. The System shall have the following integral components:

I. OBJECTIVES

1. To serve as reference in performance planning and review;
2. To promote the most effective use of manpower in the organization in order that the employee makes his/her optimum contribution in the delivery of basic services;
3. To serve as an objective basis for all personnel actions such as promotion, transfer, reassignment, demotion and separation; and
4. To serve as reference in the grant of performance-based salary step increment as provided for by the CSC-DBM Joint Circular No. 1, s. 1990; and for other incentives and rewards that may be provided under the approved Employee Suggestions and Incentive Awards System of the agency.

II. BASIC POLICIES

1. The Performance Evaluation System shall be made an integral part of the HRD of the agency.
2. Appraisal shall focus on results/outputs rather than on activities/processes.
3. Employees shall be given appropriate recognition for their performance and contribution to the overall effectiveness and efficiency of the organization.
4. Each supervisor and subordinate shall be informed of his rights and obligation under the Performance Evaluation System and be periodically informed of his progress.
5. Appropriate training opportunities shall be continually provided to facilitate effective implementation of this System.

III. SCOPE. The System shall apply to all career employees. Non-career employees may also use the PES for purposes of future personnel actions.

IV. RATING PERIODS. Performance evaluation shall be done every six (6) months ending on June 30 and December 30 of every year. However, if there is a need for a shorter or longer period, the minimum appraisal period shall be at least ninety (90) days or three months while the maximum shall not be longer than one (1) year.

V. MECHANICS OF THE SYSTEM. The performance evaluation procedure shall follow the following processes:

1. Planning. There shall be a planning session at the start of the rating period during which targets or expected outputs shall be set jointly by the supervisor and employees. Furthermore, the supervisor and employees define the job of each member of the group, agree on the duties and responsibilities attached to a particular job, and establish the standards on which specific work outputs and behaviors shall be measured.
2. Setting Commitments. Targets/major duties and responsibilities established during the planning session shall be listed in the Performance Evaluation Report Form under the "Planned" column. Agreements shall be jointly signed by both parties.
3. Progress Review. This process involves a discussion between a supervisor and subordinate using the following steps:
 - a. Subordinate reviews the progress of all the jobs assigned to him.
 - b. The supervisor reinforces progress on job goals already accomplished by recognizing employee's efforts and praising him for specific achievements.
 - c. They both discuss goals and standards not being met and identify causes.
 - d. They identify and agree on appropriate action to overcome causes of difficulties.
 - e. They re-negotiate goals and standards where necessary.
4. Appraisal Discussion. There shall be a highly interactive performance appraisal discussion and feedback mechanism to foster better working relationship between supervisor and subordinate.

Major Steps in the Appraisal Discussion:

1. Establish rapport with the subordinate employee.
2. Get the employee's view of his own performance.
3. Present your own view with emphasis on strengths and weaknesses.
4. Get reaction from the subordinate.
5. Discuss areas of agreement and disagreement.
6. Resolve the difference.
7. Summarize and conclude.
8. Write down agreements re rating, strengths and development areas, plans for improvement.
9. Acknowledge agreement by signing the Report Form.

To ensure the success of the discussion, the specific roles that supervisor and employee must play are hereby set:

Subordinate's role:

1. Summarize his achievements and/or failures for the whole rating period.
2. Defend the rating he thinks he deserves.
3. Offer suggestions to improve his own performance.
4. Offer suggestions on how his/her supervisor can help to make him more productive and effective.

Supervisor's role:

1. Make the employee feel at ease during the discussion.
2. Inform the employee on whether or not he is meeting job expectations.
3. Summarize the employee's performance during the rating period.
4. Defend the rating he thinks the employee deserves.
5. Give proper degree of praise and constructive criticism.
6. Listen to employee's concerns.
7. Provide encourage and motivation.
8. Counsel on improvement areas.
9. Secure employee's acknowledgment of the employee's rating.

VI. MECHANICS OF RATING

A. Appraisal

1. The employee evaluates his own work performance and behavior using the standards set for specific work outputs and behavioral factors affecting performance.

The evaluation shall be based on the information contained in the division logbook, attendance records, production/accomplishment reports and other relevant documents.

2. The supervisor and employee must meet to discuss and agree on the rating and develop plans for work improvement.
3. The rater and employee complete the Job Accomplishment Form and accomplish the Performance Evaluation Report Form.
4. The fully accomplished forms are submitted to the authorized official for review. If the authorized official agrees with the employee's rating, he signs the Report Form. Otherwise, he shall notify the employee and rater and discuss the change in the rating with them. The revised rating shall be initialed by the employee, rater and reviewer.
5. The original copy of the final rating shall be sent to the Personnel Division/Office of the Administrator, copy furnished the employee and the rater.
6. If the employee disagrees with the final rating of his performance, he shall also sign the report and/or initial the changes. He may then appeal his rating in accordance with the rules and procedures for the purpose.

B. How to Compute the Rating for Job Accomplishment

The Performance Evaluation Report Form shall contain the statements of major duties and responsibilities of an employee.

1. To get the Average Point Score, add all the scores assigned under "Quantity", "Quality", and "Time" by the total number of entries.
2. Multiply the Average Point Score by 0.7 (70%) to get the Equivalent Point Score.

C. How to Rate Employee's Behavior

1. The graphic scale presents four (4) behavioral factors for non-supervisor and five (5) for supervisors, affecting the performance of every employee.
2. For each factor, there are five (5) levels of performance or anchors which range from Outstanding (10) to Poor (2). Choose the level of performance that gives the most accurate description of the employee's behavior.
3. Add all the corresponding scores and divide the sum by the total number of behavioral factors to get the Average Point Score.
4. Multiply the Average Point Score by 0.3 (30%) to get the Equivalent Point Score.

D. How to Determine the Overall Rating?

The overall rating is computed by adding the Equivalent Point Score for both Job Accomplishment and Behavior. The sum is the overall rating. Use the following rating scale to find the equivalent adjectival rating of the obtained overall rating.

<u>Overall Rating</u>	<u>Adjectival Rating</u>
9.4 - 10.0	Outstanding
7.6 - 9.3	Very Satisfactory
4.6 - 7.5	Satisfactory
2.8 - 4.5	Unsatisfactory
2.0 - 2.7	Poor

The adjectival rating are defined as follows:

OUTSTANDING. An employee shall be given this rating when he exceeds his target by at least fifty percent (50%). It represents an extraordinary level of achievement and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance level should have demonstrated exceptional job mastery in all major areas of responsibility. His achievement and contributions to the organization are of marked excellence which even his peers recognize through a forced comparison/distribution method established by the agency concerned.

VERY SATISFACTORY. An employee shall be given this rating when he exceeds the expected output/performance by at least 25% but falls short of what is considered an outstanding performance. In addition, his competence and contributions will be recognized by his peers also through a forced comparison/distribution method established by the agency concerned. Those screened out in the forced comparison/distribution for “Outstanding” performers shall be included in this category.

Only employees with “Outstanding” and “Very Satisfactory” performance ratings shall be considered for promotion.

SATISFACTORY. An employee shall be given this rating when he meets one hundred percent (100%) the standard or ordinary requirements of the duties of the position. Those screened out in the forced comparison/distribution for “Very Satisfactory” performers shall be included in this category.

UNSATISFACTORY. An employee shall be given this rating when his performance is fifty-one percent to ninety-nine percent (51%-99%) of the minimum requirements but could stand improvement. It is expected that in the next rating period the employee, under close supervision, will either improve his performance for which he shall be given a “Satisfactory” rating, or if not, he shall get another “Unsatisfactory” rating.

Two (2) successive “Unsatisfactory” rating shall be a ground for separation from the service.

POOR. An employee shall be given this rating when he fails to meet performance requirements or meets fifty percent or below of the minimum requirements and there is no evidence to show that he can improve his performance.

A rating of “Poor” shall be ground for separation.

VII. MECHANISM OF APPEAL

An employee who expresses dissatisfaction with the rating given him may appeal to the Grievance Committee established under CSC MC No. 45, s. 1989 within fifteen (15) days after receipt of his copy of Performance Appraisal Report.

Only those employees who receive an overall rating equivalent to Poor, Unsatisfactory, Satisfactory, and Very Satisfactory shall have the right of appeal to the Grievance Committee.

Who may Appeal a Performance Rating. Within fifteen (15) days after receiving an official copy of his rating, an employee may file an appeal in writing specifying what his performance rating should be, the reasons therefore, and supporting documents to support his appeal.

VIII. SANCTION

Administrative action shall be filed against an employee using the performance evaluation system to give undue advantage or disadvantage to the employees they rate.

Procedure of filing complaints and imposing sanctions shall be in accordance with CSC MC No. 30 and No. 32, s. 1989, and the Omnibus Rules Implementing Book V of EO 292.

WHEN TO GIVE AN OVERALL RATING OF “OUTSTANDING”

An “Outstanding” rating will be recommended only by the rater when performance evaluation indicates that all of the following conditions are fulfilled:

1. In all aspects of his work, the employee exceeds requirements so far that he should be considered for commendation for each aspect;
2. It can be demonstrated that positive, constructive results have been achieved.
3. This performance is typical of the entire period over which the rating extends; and

4. It represents actual accomplishment rather than merely extra effort.

When the supervisor feels that he can justify each of the points mentioned above, he should attach to the performance report form the following:

1. Current job description;
2. Performance standards of satisfactory performance;
3. Statements describing specific performance during the rating period which sufficiently exceeded the standards and requirements (150%); and
4. Evidence to support above statements such as copies of production records, logbook, commendations, description of incidents of unusual results achieved.

GENERAL STANDARDS

The following general standards of outputs shall be adapted in the preparation of specific standards for different functions:

A. Timeliness

- | | | |
|----|---|--|
| 10 | - | Task completed within 1/2 of the time required to finish it. |
| 8 | - | Task completed within 2/3 of the time required to finish it. |
| 6 | - | Task completed just before or on the deadline. |
| 4 | - | Task partially completed at the deadline. |
| 2 | - | Task not yet begun at the expected date of completion. |

B. Quality of Written Work

- | | | |
|----|---|---|
| 10 | - | No mistakes or deficiency; every aspect of work assignment well covered; clearly presented; well organized. |
| 8 | - | One or two minor errors or deficiencies; work in accordance with instructions, clearly presented; well organized. |
| 6 | - | More than two minor errors or deficiencies; major revision needed. |
| 4 | - | One or two major errors or deficiencies; major revision needed. |
| 2 | - | Work not acceptable; needs total revision. |

C. Quality of Non-Written Assignment

- | | | |
|----|---|---|
| 10 | - | Excellent result; all aspects of work assignment thoroughly covered. |
| 8 | - | One or two minor errors in the execution of work assignment; results still very good. |
| 6 | - | More than two minor errors or deficiencies in the execution of work assignment; results are acceptable. |
| 4 | - | One major error of deficiency that can be overcome with help from superior. |
| 2 | - | Haphazard or careless execution of work assignment; unacceptable results. |

D. Volume of Work

- 10 - Target or quota exceeded by 50% or more.
- 8 - Target or quota exceeded by 10% - 45%.
- 6 - Target or quota accomplished as expected.
- 4 - Only 60% - 95% of target or quota accomplished.
- 2 - Less than 60% of quota or target accomplished.

HOW TO COMPUTE THE RATING

PART I. PERFORMANCE (70%)

1. Add all the total ratings obtained under Quantity, Quality, Timeliness.
2. Divide the sum by the number of ratings to get the Average Point Score.
3. Multiply the Average Point Score by 0.7 to get the Equivalent Point Score.

PART II. BEHAVIORAL DIMENSIONS (30%)

1. Add all the total ratings obtained for each behavioral factor.
2. Divide the sum by the number of behavioral factors to get the Average Point Score.
3. Multiply the Average Point Score by 0.3 to get the Equivalent Point Score.

To get the Overall Point Score, add the Equivalent Point Score of Part I and Part II. Convert the Overall Point Score into its Equivalent Numerical Rating and Equivalent Adjectival Rating by referring to the table below:

OVERALL POINT SCORE	EQUIVALENT NUMERICAL	EQUIVALENT ADJECTIVAL
SCORE	RATING	RATING
9.4 - 10.0	10	Outstanding
7.6 - 9.3	8	Very Satisfactory
4.6 - 7.5	6	Satisfactory
2.8 - 4.5	4	Unsatisfactory
2.0 - 2.7	2	Poor

Reference: CSC-MC No. 12, s. 1993
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