

## PERCENTAGES OF FINAL RATING

The system and percentage allocation for the final rating of the office and individual performances are presented below:

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### PERCENTAGE ALLOCATION FOR OFFICE PERFORMANCE COMMITMENT AND REVIEW (OPCR)

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#### Unit Heads/Deans/Directors

Strategic Priority	30%
Core Functions	50%
Support Functions	20%
Total	100%

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### PERCENTAGE ALLOCATION FOR INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW (IPCR)

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#### Faculty

Faculty Rank/ Classification	Teaching (+TER)	Research	Extension	Total
Associate Prof to Prof VI	50%	35%	15%	100%
Asst. Prof and below	70%	15%	15%	100%

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**PERCENTAGE ALLOCATION FOR INDIVIDUAL PERFORMANCE  
COMMITMENT AND REVIEW (IPCR)**

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**Administrative Staff**

<b>Core Functions</b>	<b>50%</b>
<b>Support Functions</b>	<b>30%</b>
<b>Critical Factors</b>	<b>20%</b>
<b>Total</b>	<b>100%</b>

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**PERFORMANCE RATING SCALE**

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<b>Rating</b>		<b>Description</b>
<b>Numerical</b>	<b>Adjectival</b>	
5	Outstanding	130% and above meeting the success indicators
4	Very Satisfactory	115% to 129% of the success indicators
3	Satisfactory	100% to 114% of the success indicators
2	Unsatisfactory	51% to 99% of the success indicators
1	Poor	Below 50% of the success indicators

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# **STRATEGIC PERFORMANCE MANAGEMENT SYSTEM FOR MSUN FACULTY AND ADMINISTRATIVE STAFF**

## **MSUN HISTORY AND LEGAL BASIS**

### **History/Legal Bases**

Mindanao State University at Naawan was founded as a field laboratory of the MSU College of Fisheries under Dean Domiciano Kapili Villaluz in 1964. This field laboratory was intended to complement the MSU College of Fisheries program in freshwater aquaculture. Through the help of the Municipal government, a 15 hectare mangrove area in Naawan, Misamis Oriental was acquired for training students in the design and construction of brackishwater ponds for the culture of commercially important species of fish. At the same time, a handful of biologists under the leadership of Dean Villaluz was experimenting on the hatchery technique of producing the fry of *Penaeus monodon* Fabricius under laboratory conditions.

In 1969, Dean D.K. Villaluz successful convinced the National Science Development Board (NSDB) of the very bright prospect of prawn culture in the country. This lead to the NSDB assistance of P37,000/year for three years to research project entitled "Reproduction, Larval Development and Cultivation of Sugpo, *P. monodon* Fab. Project." With this assistance, the research team under Dean D.K. Villaluz managed to construct a pilot laboratory. This first documented successful experiment on prawn culture inspired other institutions and private investors in recent years to put up, commercial hatcheries and provided bright prospect for a new dollar-earning aqua-culture industry.

In 1971, the Sulu College of Technology and Oceanography was created by Republic Act No. 60 to develop the fishery potentials of Sulu nearby waters. In line with the objectives of RA 6060, the Institute of Fisheries Research and Development was organized purposely to intensify research on fisheries with MSU-NSDB Marine Fisheries Laboratory at Naawan as its nucleus and with the SCTO Coastal Research Laboratory in Marawi City as its research arms on coastal and inland fisheries respectively.

The MSU-Institute of Fisheries Research and Development was formally organized and made a distinct of the Mindanao State University pursuant to a special order signed by then President Mauyag Tamano on December 4, 1973 placing the MSU Naawan Fisheries High School under its immediate supervision. At that time, the Institute program had the following main components:

1) Research; 2) Training and Extension; 3) Academic; 4) Conservation when Director Warlito M. Sanguila reorganized the administrative set-up of the Institute, the top level management of the institute consisted of the Director with three deputy-directors, namely: 1) Deputy-Director for Research, 2) Deputy-Director for Technology Transfer, and 3) Deputy-Director for Administration and Development. Expansion of the manpower and service coverage of the Institute demanded another reorganization in 1981. The streamlining was patterned closely to the organizational set up of PCARRD. This reorganization plan was submitted to the Board of Regents and approved under BOR resolution No. 285, S. 1981 in its 108th meeting. In May 1980-81 the School of Marine Fisheries and Technology was established. This was a tertiary level joint project of the MSU-College of Fisheries and the MSU-IFRD. The MSU Board of Regents gave its seal of approval to this venture by passing BOR Resolution No. 2190, S. 1980. The School serves as the academic arm of IFRD. SMFT students have access to the laboratory facilities of IFRD and have the institute researchers as instructors. The students of the school are therefore assured not only of a strong theoretical foundation of their tasks, but are also assured of the required expertise in the application of their career in the field of fisheries. This was the assessment of a study team composed of professors from the UP College of Fisheries at Diliman, and of representatives from the Ministry of Education, Culture, and Sports (MECS) when they toured the IFRD Campus in 1985 and 1986. The group recommended that IFRD be designated as the Center for Marine Sciences in Mindanao. SMFT is headed by a dean and it offers courses along its specialization; Bachelor of Science in Marine Biology, Bachelor of Science in Fisheries Major in Mariculture, Diploma in Fisheries Technology major in Fish Culture Technology and Fish Processing Technology, and a graduate program in Marine Biology.

By 1981, the Institute was restructured pursuant to BOR Resolution 285 Series of 1981. In 1982 Naawan Fisheries High School was integrated with the Institute pursuant to BOR Resolution 174, Series of 1982. In 1988 MSU Naawan was formally organized as a distinct autonomous unit of the MSU System pursuant to Memorandum Orders No. 3 and no. 45 and BOR resolution 92, Series of 1988.

On July 21, 1988, the first Executive Director for the Naawan campus was elected by the Board of Regents of the University. By August 5, after two weeks of dialogic consultations with the campus constituents, the Executive Director completed the revamp of the second and lower level leadership positions of the campus in accordance with its BOR approved new-organizational structure. This was immediately followed by reorientation meetings with the new set of officials where the objectives of the university and the programs to be specifically pursued and charted with mandated objectives towards, research, extension, and instruction.

Right now, MSU Naawan is headed by a Chancellor. The organization thrives on a simplified organizational structure where six deans, a principal, two directors (research and extension), and two Chief Administrative Officers including a special project manager report directly to him/her. Six of these light middle management positions are mere designations utilizing the faculty without additional compensation.

## **VISION**

Mindanao State University System: A world-class university in Southern Philippines.

## **VISION**

Mindanao State University at Naawan: A world-class university in Southern Philippines.

## **MISSIONS:**

1. To holistically develop God-fearing manpower resources.
2. To undertake research activities & resource management in aquaculture, fisheries, marine & freshwater environments & other disciplines.
3. To provide learning & training programs in fisheries & aquaculture, agroforestry, management & conservation of environment & resources, gender & development, & its other disciplines for food security & poverty alleviation.
4. To promote culture of entrepreneurship, and to engage in income and resource generation.

## **OBJECTIVES:**

1. To produce competent and globally-responsive professionals who are committed to the core values of integrity, industry, respect to cultural diversity, and environmental sustainability.
2. To conduct research and development activities in natural and man-made systems for resource and environmental management
3. To develop sustainable food production and management technologies in fisheries and agroforestry.
4. To conduct researches in other disciplines in support to its flagship programs.
5. To promote peer-reviewed publications & exchange of scientific & technological outputs.
6. To undertake training and community service for fisheries and aquaculture, agroforestry, management and conservation of environment and resources, gender and development, and its other disciplines.

7. To utilize aquaculture and other university technologies & facilities for income generation.
8. To link with donor entities.
9. To serve as hub for BIMP-EAGA in its fisheries, aquaculture and environmental projects.

**MISSION:**

To produce holistically developed God-fearing human resources for research and development towards food security, poverty environmental sustainability, gender sensitivity and cultural diversity.

**OBJECTIVES:**

- To produce competent and globally-responsive professionals who are committed to the core values of excellence, integrity, industry, respect to cultural diversity, gender sensitivity and environmental sustainability.
- To conduct research and generate technologies in fisheries, agriculture, forestry, resource and environmental sustainability, gender sensitivity, cultural diversity and other disciplines for food security and poverty alleviation.
- To provide outcomes-based training programs and transfer relevant technologies on various disciplines.
- To promote culture of entrepreneurship and generate resources for sustainability of programs.

**1. RATIONALE**

The Administrative Code of 1987 mandates the establishment of a performance evaluation system for all officers and employees in the career service to continually foster the Improvement of Individual employee efficiency and organizational effectiveness.

In pursuit of that purpose and consistent with Administrative Order No. 25 (s.2011) which seeks to establish a unified and integrated RBPMS across all departments and agencies within the Executive Branch of Government, incorporating a common set performance scorecard and creating an accurate, accessible, and up-to-date government-wide sectoral, and organizational performance information system, which shall be used as a basis for determining entitlement to performance-based allowances, incentives, or compensation of government personnel.

- 1.1 The alignment of individual performance to organizational performance, ventures to be the significant consideration in the Results-Based Performance Management System (RBPMS) and Strategic Performance Management System (SPMS) which, among others, aim to motivate higher performance and greater accountability in the public sector as well as the accomplishment of priority program/project targets of the Mindanao State University – Naawan (MSU-N) under the five (5) Key Results Areas (KRAs) of the Administration as laid out in EO No. 43.
- 1.2 Starting 2014, an integrated reporting and monitoring scheme shall be adopted and implemented to ensure the reporting of a comprehensive performance indicators (PIs) set which shall give emphasis on how the needs and demands of the citizens are efficiently and effectively addressed by the products or services that MSU-N is mandated to deliver.

## II. PURPOSE

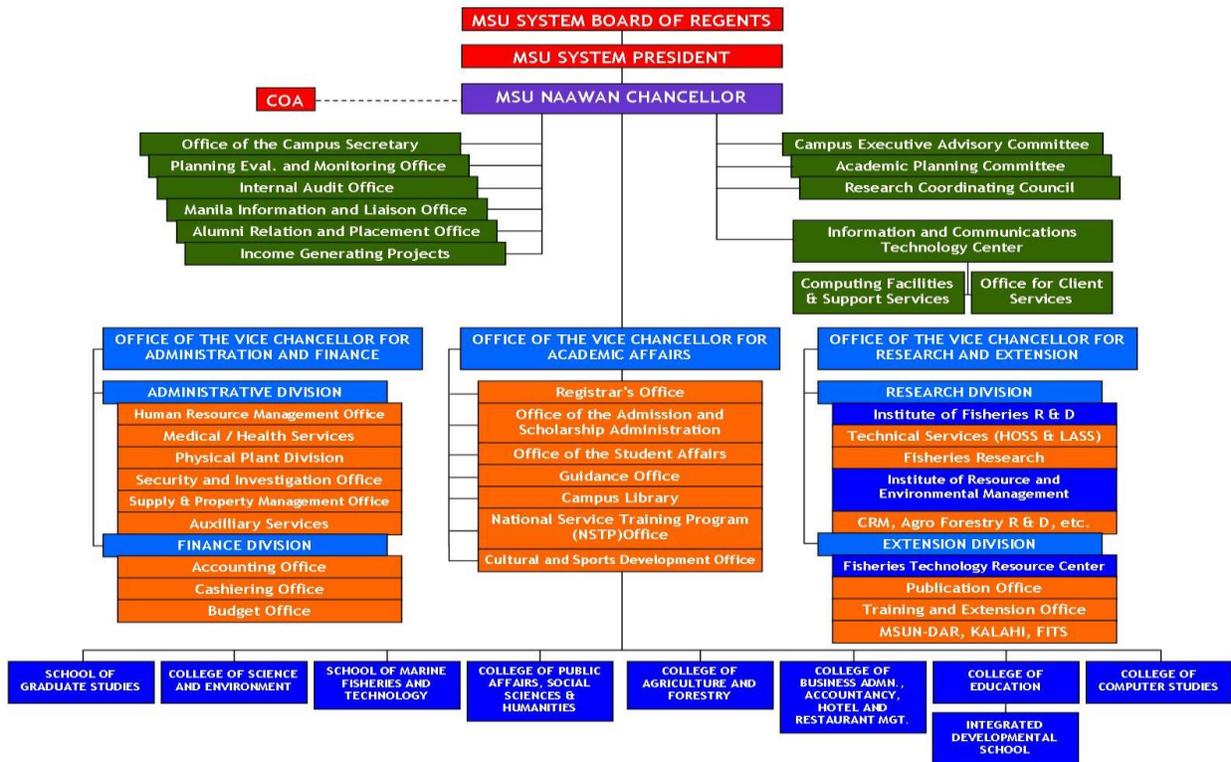
2.1 To provide guidelines on the adoption and cascading of the Revised Performance Management System and align with the SPMS.

2.2 To ensure harmonization with the requirements set forth in the RBPMS and qualify for the Performance-Based Bonus (PBB).

2.3 To facilitate an efficient and a structured performance reporting and strengthen performance monitoring and appraisal system.

## ORGANIZATION STRUCTURE

The diagram outlines the Mindanao State University at Naawan organization structure.



### III. POLICY GUIDELINES

To promote accountability for results and improve the execution of program and projects, the reporting of:

- 3.1 The PIs shall be based on verifiable, observable, creditable, and sustainable data;
- 3.2 The PIs shall be categorized according to performance of MSUN: (1) Major final Outputs (MFOs); (2) Support to Operations (STO); and, (3) General Administration and Support Services (GASS);
  - 3.2.1 Major Final Output (MFO) - good or service that the Agency is mandated to deliver to external clients through the implementation of programs activities and projects (PJA/Ps). These core business processes are delivered by the MSUN operating units as follows: 1) **Office of the Vice Chancellor for Administration and Finance**(Administrative Division-HRMO, Medical Services, Physical Plant Division, Security and Investigation Office, Supply and Property Management Office, and Auxiliary Services and Finance Division-Accounting Office, Cashiering Office, Budget Office); 2) **Office of the Vice Chancellor for Academic Affairs** (Registrar, Office of Student Affairs, Campus Library, Guidance Office, NSTP Office, CSD Office, School of Graduate Studies, College of Science and Environment, School of Marine Fisheries and Technology, College of Public Affairs Social Sciences and Humanities, College of Agriculture and Forestry, College of Business Administration, Accountancy, Hotel and Restaurant Management, College of Education, Integrated Developmental School, and College of Computer Studies); 3) **Office of the Vice Chancellor for Research and Extension** (Research Division-Institute of Fisheries R & D, Technical Services (HOSS & LASS), Fisheries Research, Institute Resources and Environment Management, CRM, Agro Forestry R & d, etc, Extension Division-Fisheries Technology Resource Center, Publication Office, Training and Extension Office, MSUN-Dar, KALAHI, FITS); and 4) **Office of the Chancellor** (Campus Secretary, Planning and Monitoring Office, Internal Audit Office, MILO, Alumni Relation and Placement Office, IGP, Campus Executive Advisory Committee, APC, Research Coordination Council, ICATC, Computing Facilities & Support Services, Office for Client Services);(See MSUN Organizational Chart)
  - 3.2.2 Support to operations - are activities that provide technical and substantive support to the operations and projects of the department/agency. These are activities which contribute to or enhance the delivery of services but which by themselves do not produce the MFOs.
  - 3.2.3 General Administration and Support Services - are activities that deal with the provision of overall administrative management support to the entire agency operation. It includes activities such as general management and n, legislative liaison services, human resource development, and administrative services.
- 3.3 Target/commitment and accomplishments shall be done in the revised forms (Annexes 1, 2 & 3) reflecting the resultson the delivery of citizen-focused service and products using the OPIF, the Judicious utilization of public resources and assets of the government, efficiency in the internal process and leadership, learning and growth focusing on the ethical behavior of the leaders that

promote public trust, and the performance per Strategic Objectives of MSUN in the Performance Governance System - Balanced Scorecard.

The Chancellor shall indicate the critical incidents which affected the overall performance of the agency including qualitative comments! Observations and recommendations. Likewise, the Vice Chancellor for Academic Affairs shall report/ document the critical incidents which affected the overall performance of the office.

3.3.1 The performance (target/ commitments and accomplishments) of the 3<sup>rd</sup> Level Unit (Department) within the office shall be measured using the **INTEGRATED PERFORMANCE SCORECARD** (Annex 2);

3.3.2 Individuals performances shall be reflected using the **INTEGRATED PERFORMANCE SCORECARD** (Annex 3);

3.4 Office and individual performances shall be evaluated and assessed using the new/ revised scale of rating of performance;

3.5 Provisions in the Enhanced Strategic Performance Management System per **CSC Res. No. 1200481** dated **16 March 2012**, in so far as consistent and applicable, shall be deemed adopted.

#### **IV. PROCEDURAL GUIDELINES**

4.1 Offices and individuals shall start reviewing the MFOs, PIs and targets as declaration in relation to the OPIF (Book of Outputs of 2011), and P/A/Ps targets of MSUN with the President.

4.2 The PIs of outputs and outcome under each MFO, as well as performance of STO and GASS functions should capture the dimensions of quantity, quality and timeliness. The implementation of ART A, as one of the State Universities & Colleges (SUC's) Priority Program to the President under the Philippine Development Plan, shall be also featured the performance targets.

4.3 In reporting the targets/ commitments and performance, the following four-stage Performance Management Cycle shall be followed:

1. Performance Planning & Commitment
2. Performance Monitoring & Coaching
3. Performance Review & Evaluation
4. Performance Rewarding & Development Planning

Thus, the MSUN adopted the Revised Strategic Performance Management System (SPMS) as a core management tool that will not only provide a scientific and verifiable basis in assessing organizational performance and the collective performance of individuals but gives emphasis as well to strategic alignment of MSUN thrusts with the day-to-day operations of the agency field units.

#### **V. THE SPMS CONCEPT**

Moving towards client satisfaction and creating a social impact, the MSUN Revised SPMS is a system which would meaningfully and objectively link employees' performance with that

of the agency's vision, mission and strategic goals. It is an instrument which would tell us that the organization is performing its overarching role to the entire bureaucracy of ensuring the delivery of excellent public service by its high performing, competent and credible workforce.

Essentially, it is a means to professionalize the civil service and engender a meaningful sense of involvement, accountability and shared ownership.

## **A. Objectives**

The core objective of the SPMS is to provide the means through which better results can be obtained from the organization, offices, and individuals by managing performance.

Specifically, the objectives of the SPMS are the following:

1. To concretize the linkage of MSUN overall performance with the Agency Strategic Plan and the Philippine Development Plan',
2. To ensure organizational effectiveness by cascading institutional accountabilities to the various levels of the organization anchored on the establishment of scientific basis for performance targets and measures',
3. To link performance management with other HR systems using one platform, that is, only one basis shall be used in performance evaluation, HR planning and interventions, rewards and incentives, discipline and Personnel actions;
4. To improve Office and individual performance through a systematic approach via an ongoing process of establishing strategic performance objectives, measuring performance, and collecting, analyzing, reviewing, and reporting performance data; and,
5. To align individual and Office performance with the organization's strategic goals vision putting premium on performance results of the organization.

## **B. Enabling Mechanisms**

- Approved MSUN MFOs, STO, GASS and PAPs.
- Office specific Logical Framework (LogFrame).
- A recruitment system that identifies competencies and other attributes required for particular jobs or functional groups.
- Job competency standards in determining the necessary human resource (HR) interventions to address competency gaps.
- An adequate rewards and incentive system.

## **C. SCOPES**

As an instrument which serves as standard for better alignment of individual and organizational objectives, this set of guidelines shall be used in determining, managing and measuring the individual and office performances with success indicators anchored in the targets and measures set.

#### D. KEY PLAYERS

The success of the SPMS relies on the people who are responsible for implementing it. Although all employees of an organization are important in the realization of the organizational goals, the creation of a Performance Management Team (PMT) that will oversee the implementation of the SPMS will be critical to the success of the SPMS. The key players and their specific roles are described as follows:

Player	Roles
The SUC Chancellor/President	<ul style="list-style-type: none"><li>• Champions the SPMS.</li><li>• Together with the PMT, the SPMS Champion is responsible and accountable for the establishment and implementation of the SPMS.</li><li>• Sets the organization's performance goals/objectives and performance measures.</li><li>• Determines agency target setting period.</li><li>• Approves office performance commitment and rating.</li><li>• Assess performance of the Offices.</li></ul>

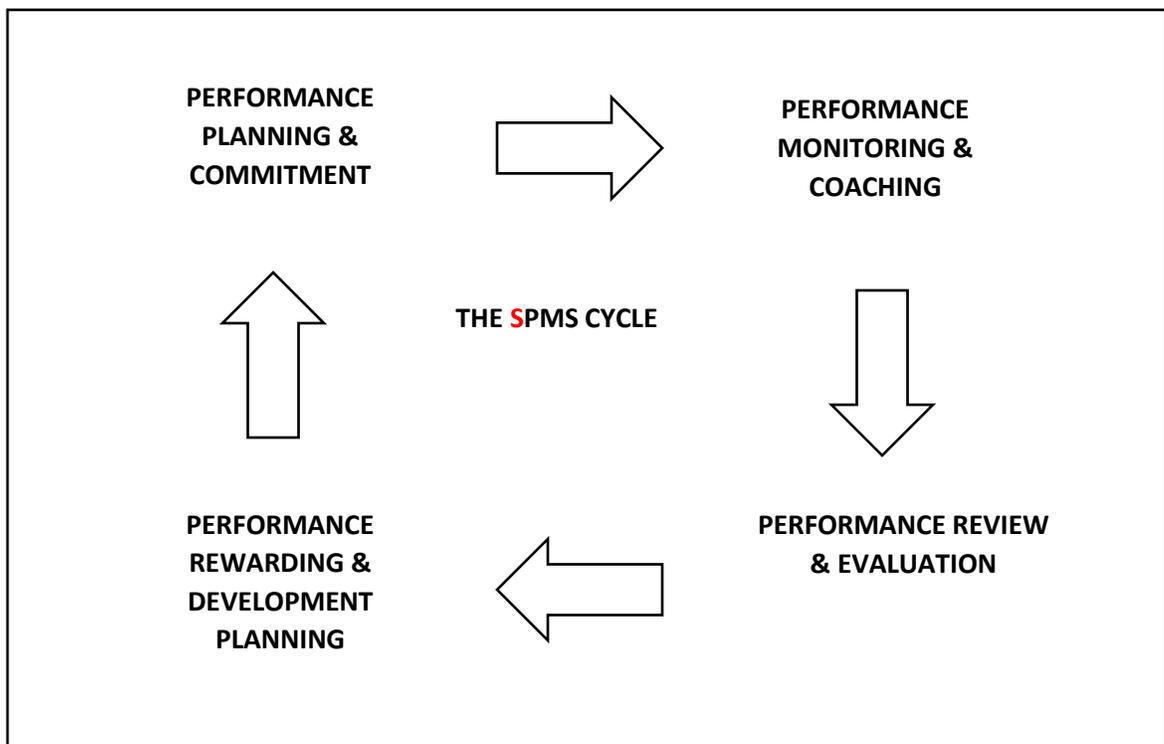
<p>Performance Management Team (PMT)</p> <p>Composition</p> <ul style="list-style-type: none"> <li>▪ <b>Chairman :</b> OIC, Finance Division</li> <li>▪ <b>Members :</b> HRMO, VCAA, CAO-Administrative Division, Planning Committee, 1<sup>st</sup> and 2<sup>nd</sup> Level Representative, and Faculty Union President</li> </ul>	<ul style="list-style-type: none"> <li>• Reviews Office Performance Commitment and Review (OPCR) for the approval of the Head of Agency.</li> <li>• Ensures that Office performance measures and the budget are aligned with those of the Agency and that work distribution of Offices is rationalized.</li> <li>• Sets consultation meeting of all Heads of Offices for the purpose of discussing the targets set in the office performance commitment and rating form.</li> <li>• Sets consultation meeting of all Heads of Offices for the purpose of discussing the targets set in the office performance commitment and rating form.</li> <li>• Acts as appeals body and final arbiter for performance management issues of the agency.</li> <li>• Identifies top performers who qualify for rewards and incentives.</li> <li>• Adopts 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.</li> </ul>
<p>Planning Office/Committee</p>	<ul style="list-style-type: none"> <li>• Functions as the PMT Secretariat.</li> <li>• Monitors submission of the Office Performance Commitment and Rating Form (OPCR) and schedule the review and evaluation by the PMT.</li> <li>• Consolidates, reviews, validates, and evaluates the initial performance assessment based on accomplishment reported against success indicators and budget against actual expenses.</li> <li>• Conducts an agency performance planning and review conference annually.</li> <li>• Provides each office with the final office assessment as basis in the assessment of individual employees.</li> </ul>

<p>HRM Office</p>	<ul style="list-style-type: none"> <li>• Monitors submission of IPCR Form.</li> <li>• Reviews the summary list of individual performance rating.</li> <li>• Provides analytical data on retention, skill/competency gaps, and talent development plan.</li> <li>• Coordinates, developmental interventions that will form part of the HR Plan.</li> </ul>
<p>Head of Office (VCAA, Directors for Research and Director for Extension, and Chief Administrative Officers for Administration and Finance)</p>	<ul style="list-style-type: none"> <li>• Assumes primary responsibility for performance management in his/her Office.</li> <li>• Conducts strategic planning session with supervisors and staff.</li> <li>• Reviews and approves individual performance commitment and rating form.</li> <li>• Submit quarterly accomplishment report.</li> <li>• Does initial assessment of office's performance.</li> <li>• Determines final assessment of individual employees' performance level.</li> <li>• Inform employees of the final rating and identifies necessary interventions to employees.</li> <li>• Provides written notice to subordinates who obtain Unsatisfactory or Poor rating.</li> </ul>
<p>Deans/Chairpersons/Section Heads(HRMO, Budget, Accounting, Budget, Cashier and IGP)</p>	<ul style="list-style-type: none"> <li>• Assumes joint responsibility with the Head of Office in attaining performance targets.</li> <li>• Rationalizes distribution of targets and tasks.</li> <li>• Monitors closely the status of performance of subordinates.</li> <li>• Assesses Individual employees' performance</li> <li>• Recommends development interventions.</li> </ul>

Individual Employees	Act as partners of management and co-employees in meeting organizational performance goals.

**E. Specific Procedures**

The SPMS follows the four-stage performance management cycle framework:



**E.1. Performance planning and commitment**

This is done at the start of the performance period where VPAA meet with their Deans/ Directors and staff and agree on the outputs that should be accomplished of the Office that are derived from the goals/ objectives of the organization.

**E.1.1 SUCCESS INDICATORS**

Success indicators refer to the characteristics, property or attribute of achievements, accomplishments or effectiveness in the fulfillment of work plans for the year. These shall consist of performance measures and performance targets.

These shall be passed on the organization's strategic plan and strategic priorities in MSUN Roadmap for Development/ Reforms for 2014-2015, and the MSUN OPIF.



Success indicators should be S-M-A-R-T which stands for:

- **Specific** - Do the indicators clearly indicate that which should be achieved? Are they easily understood?
- **Measurable**- Are the indicators quantifiable or verifiable to determine whether the Office/ individual is meeting the objectives or not?
- **Achievable** - Are the indicators attainable and realistic given the Office's resources?
- **Results-Oriented** - Do the indicators focus on outputs geared towards realization of organizational outcomes?
- **Time-bound** - Is there a time frame to achieve or complete the deliverables? Does it advance efficiency in delivering services?

### E.1.2 Performance Measures

Are performance level yardsticks computed through the units of work measurements and according to their function, the process of which is as follows:

- a. The MSUN Management shall set the performance goals/ objectives and performance measures of the organization as early as July of the year for targets and measures for the next year based on the approved MFOs, Pls, STO and GASS. This shall serve as basis in the Office's Preparation of the OPCR. Commitments for the year shall be reflected in a way that semestral targets/ activities are strategically reflected specifically milestones for projects that would be completed in six (6) months or more so that progressive outputs are identified and rated accordingly.
- b. The PMT shall review Institute/ Unit's OPCR for the President's approval. It shall ensure that the performance targets and measures and the budget are aligned with those of the organization and that work distribution of Institute/ Unit is rationalized. Should modification be necessary in the submitted OPCR, the PMT shall inform the concerned head of office of the proposed changes.

- c. Performance measures need not be many. Only those that contribute to or support the outcomes that the organization aims to achieve shall be included in the OPCR (i.e., measures which must be relevant to the organization's strategic priorities). The performance measures shall be continuously refined and reviewed.
- d. Performance measures shall include at least one of the following but shall not limit the office to the hereunder general categories:

Category	Definition
Quantity/ Quality	Gives a sense of whether the Office is doing the right things right based on its mandates and expectations/ requirements of the clients/ stakeholders.
Efficiency	Provides a sense of whether the Office is doing the things right.
Timeliness	Measures whether the deliverable was done on time based on the requirements of the law and/or clients/stakeholders.

- e. The OPCR shall be the basis for the Individual Performance Commitment and Review (IPCR) (Refer to Form B) to be prepared by the supervisors.

### **E.1.3 Target Setting**

- a. MFOs arising from the core and support functions of the Institute/ Unit shall be indicated as performance targets aside from the Institute/ Unit commitments explicitly identified under each strategic priority/ initiative.
- b. Two forms are used for setting the targets: (1) the OPCR; and, (2) the of every employee.
- c. The targets shall take into account any or all of the following:
- Historical data. The data shall consider past performance.
  - Benchmarking. This involves identifying and comparing the best institute or units within the MSUN with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law.

- Client demand. This involves a bottom-up approach where the Institute/ Unit sets targets based on the needs of its clients. The Institute/Unit may consult with stakeholders and review the feedback on its services.
- OPES Reference Table - list of major final outputs with definition and corresponding OPES points.
- The President's Instruction. The management may set targets and via special assignments.
- Future trend. Targets may be based from the results of the comparative analysis of the actual performance of the Institute/Unit with its potential performance.

d. In setting work targets, the institute/ unit shall observe the cutoff date of every 15<sup>th</sup> of August and every 15<sup>th</sup> of January for the 1<sup>st</sup> and 2<sup>nd</sup> semesters, respectively.

e. Using the SPMS Table of Performance Standards/ Measures (success indicators), determine the type and number of output the office/ unit is mandated to deliver. In cases where the work outputs identified do not have corresponding measures/ standards, the office shall provide the specific performance measures or success indicators and targets. This will be subject to the evaluation of the PMT.

f. The Office shall compute the budget per program/ project by expense account to ensure that budget allocation is strategy-driven.

g. The Office shall also identify specific institute/ unit/ individuals as primarily accountable for producing a particular target output per PAPs.

h. Amendments to the OPCR may be allowed at any time to accommodate intervening tasks subject to the review of the PMT and approval of the Top Management.

i. A PMT meeting shall be held specifically for the purpose of reviewing the OPCRs where Deans/ Directors/Division Heads and Section Heads shall present their respective OPCRs.

j. The approved OPCR shall serve as basis for individual performance targets and measures which shall be reviewed and approved by the President for submission to the HRM Office.

## **E.2 Performance Monitoring and Coaching**

This is the phase where the raters (Deans/ Directors/Division Heads and Section Heads) monitor the work activities of employees and progress of work output. The rater is expected to address

factors that either help or hinder effective work performance and design tracking tools or monitoring strategies as may be needed.

Essentially, the focus is on the critical function and strategic shift of supervisors as front runner of developmental planning with emphasis on the strategic role of being an enabler/coach/mentor rather than a mere evaluator.

At this stage, supervisors should fully exercise or practice this management development intervention in enhancing the potentials of every employee under them. The supervisor shall periodically check on the progress and quality of work output of the Deans/ Directors/Division Heads/Section Heads /individual employee.

### E.2.1 Monitoring

The performance of institutes/units and every individual shall be regularly monitored at various levels: i.e., MSUN Management, Deans, Directors and individual, on a regular basis, but shall not be limited to the following schedule:

- a. The MSUN Management shall review the performance of the MSUN institute/ units at least one year.
- b. The HRM Office shall summarize and analyze the performance of the Institutes/ Unit every six months or at the end of each performance period.
- c. The Vice Chancellors/Deans/ Directors/Division Heads and Section Heads shall monitor on a regular basis the performance of the units and employees under them. They shall meet with them to discuss performance and the progress of work. Each individual shall likewise monitor and assess his/her performance regularly.
- d. Monitoring may be conducted through meetings, one-on-one discussions, memorandum and review of pertinent documents such as reports and communications and tracking forms to ensure timely completion and quality execution of deliverables. Monitoring is also done to avert any untoward incident or address constraints and challenges, if any.

### E.2.2 Coaching

This is a critical function of a supervisor aimed at empowering and helping individual employees in their work assignments.

Supervisors shall adopt team coaching in the management of work within the Institute/ Unit to help the unit become focused on a shared goal to accomplish a task or complete a deliverable.

### E.2.3 Form

The supervisors shall maintain a journal using the Performance Monitoring and Coaching Form to record the conduct of monitoring and coaching which shall contain the date and form of monitoring/coaching, brief statement of the purpose of the monitoring/coaching, name of persons monitored/coached as well as critical incidents noted, if any.

*Both the supervisor and the supervisee shall affix their signatures in the space provided and shall submit all the accomplished forms to the President after each quarter.*

### E.3. Performance Review and Evaluation

This phase aims to assess both office and individual employee's performance level based on set performance targets and measures as approved in the office and individual performance contracts (OPCR and IPCR). The rater objectively determines the gaps between the actual and desired performance.

#### E.3.1 Institute/ Unit Performance Assessment

- a. The MSUN Management shall assess and evaluate the performance of the Institute/ Units.
- b. The Vice Chancellors shall initially assess the Institute's/Unit's performance using OPCR.
- c. The MSUN Management shall validate the accomplishments reported by office as necessary.
- d. Various rating scales shall be used for specific sets of measures, as follows:

##### d.1 Strategic Priority/ Objectives

These are activities, involving policies, programs, projects, processes or procedures that the Chancellor conceives, initiates and primarily undertakes in the agency. They are purposive innovations' and reforms which aim to improve the quality of the Agency's structures, systems, operations and resources. They are "value adding" measures which are developed, installed, implemented and completed within a given period of time - with a definite start and end.

##### d.2 Core Functions

These are functions that implement and deliver the mandates the MSUN as identified in the MSUN Roadmap and OPIF.

##### d.3 Support Function

These are functions that provide necessary resources to enable the MSUN to effectively perform its mandate.

#### GENERAL RATING SCALE

Rating		Description
Numerical	Adjectival	
5	Outstanding	130% and above meeting the success indicators
4	Very Satisfactory	115% to 129% of the success indicators
3	Satisfactory	100% to 114% of the success indicators
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1	Poor	Below 50% of the success indicators
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**EFFICACY RATING SCALE**

Rating		Description
Numerical	Adjectival	
5	Outstanding	130% and above meeting the success indicators
4	Very Satisfactory	115% to 129% of the success indicators
3	Satisfactory	100% to 114% of the success indicators
2	Unsatisfactory	51% to 99% of the success indicators
1	Poor	Below 50% of the success indicators

**RATING SCALE FOR TIMELINESS**

Rating		Description
Numerical	Adjectival	
5	Outstanding	Task completed within the first 30% or more of the time before the deadline or scheduled time of completion
4	Very Satisfactory	Task completed in 15-29% of the time before the deadline or scheduled time of completion
3	Satisfactory	Task completed on the deadline or up to 14% of the time before the deadline or scheduled time of completion
2	Unsatisfactory	Task completed 51-99% of the time after the deadline or scheduled date of completion
1	Poor	Task not completed at all or completed 50% or more of the time after the deadline or scheduled date of completion

**Rating Scale for Quality**

Rating		Description (Written Work)	Description (Non-Written Work)
Numerical	Adjectival		

5	Outstanding	No mistakes or deficiency; every aspect of work assignment well covered, clearly presented; well organized  No lapse in grammar or error in content	Excellent results', all aspects of work assignment thoroughly covered  No mistake in performing the duty
4	Very Satisfactory	One or two minor errors or deficiencies; work in accordance with instructions; clearly presented; well organized  1 or 2 errors in grammar or errors in content	One or two minor errors in the execution of work assignments; results still very good  1 or 2 mistakes in performing the duty
3	Satisfactory	More than two minor errors or deficiencies; partial minor revision needed  3 lapses in grammar or errors in content	More than two minor errors or deficiencies in execution of work assignments; results are acceptable  3 mistakes in performing the duty
2	Unsatisfactory	One or toe major errors of deficiencies; major revision needed  4 or 5 lapses in grammar or errors in content	One major error or deficiency that can be overcome with the help from supervisor  4 or 5 mistakes in performing the duty
1	Poor	Work not acceptable; needs total revision  6 or more lapses in grammar or errors in content	Haphazard or careless execution of work assignment; unacceptable results  6 or more mistake in performing the duty

Where QUALITY would refer to the degree of acceptability, accuracy, approval or compliance of the work output with the prescribed standards in office. For the following targets/ accomplishments, a performance rating of Outstanding shall be automatically assigned:

- Fixed or flat targets - are targets which may no longer be exceeded i.e. annual reports, quarterly reports, monthly reports, etc.

- In case of failure to deliver the target, a rating of Unsatisfactory, however, is assigned.
- 100% meeting the target - i.e. Purpose target agencies in ARTA RCS which cannot be changed although target service office may be replaced/changed, 100% indirect contempt cases, etc.
- Accomplishments requiring 100% of the target, such as those pertaining to money accuracy.
- In case of money deficiency, a rating of Unsatisfactory, however, is assigned

E.3.2 Efficiency Rating Formula

$$ER = \frac{\text{number of request acted upon}}{\text{Number of request received}} \times 100\%$$

E.3.3 Critical factors affecting the delivery of work output shall be reflected and computed/ averaged (A) in the columns provided for in the Revised OPCR Form using the standards for Quality/ Effectiveness (Q), and the above rating scales for Efficiency (E), and Timeliness (T).

E.3.4 In computing the final rating of the office and individual performances, the following system and weight allocation shall be followed:

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**PERCENTAGE ALLOCATION FOR OFFICE PERFORMANCE COMMITMENT AND REVIEW (OPCR)**

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**Unit Heads/Deans/Directors**

Strategic Priority	30%
Core Functions	50%
Support Functions	20%
Total	100%

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**PERCENTAGE ALLOCATION FOR INDIVIDUAL PERFORMANCE  
COMMITMENT AND REVIEW (IPCR)**

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<b>Faculty</b>				
<b>Faculty Rank/ Classification</b>	<b>Teaching (+TER)</b>	<b>Research</b>	<b>Extension</b>	<b>Total</b>
Associate Prof to Prof VI	50%	35%	15%	100%
Asst. Prof and below	70%	15%	15%	100%

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**PERCENTAGE ALLOCATION FOR INDIVIDUAL PERFORMANCE  
COMMITMENT AND REVIEW (IPCR)**

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<b>Administrative Staff</b>	
<b>Core Functions</b>	<b>50%</b>
<b>Support Functions</b>	<b>30%</b>
<b>Critical Factors</b>	<b>20%</b>
<b>Total</b>	<b>100%</b>

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E.3.5 At the end of the semester, the Deans/ Directors/Division Heads and Section Heads shall submit the accomplishments using the OPCR to the PMT for evaluation/validation (refer to calendar).

- E.3.6 The HRM Office shall return to the Institute/ Units the validated accomplishments, with the summary report per Institute/ Unit. An Institute/ Unit is given three (3) days to comment on the validated accomplishments otherwise the HRM Office shall consider it as final for submission to the President for final assessment.
- E.3.7 To assist the Chancellor evaluated performance, the HRM Office shall consolidate, review, validate and evaluate the initial performance assessment of the VPAA based on the reported office accomplishments against the success indicators, and the allotted budget against the actual expenses.
- E.3.8 A performance review conference shall be conducted by the MSUN PMT annually. The HRM Office shall facilitate the discussion of Institute/ Unit assessment with concerned Vice Chancellors. This shall include participation of the Head of Finance as regards to budget utilization. To ensure complete and comprehensive performance review, all Institutes! Units shall submit a quarterly accomplishment report to the HRM Office.
- E.3.9 Performance assessment and Evaluation for Individual Employees
- a. The immediate supervisor shall assess individual employee performance based on the commitments made at the beginning of the rating period. The supervisor shall indicate qualitative comments, observations and recommendations in the IPCR to include behavior and critical incidents that may be considered for other human resource development purposes such as promotion and other interventions. Said assessment shall be discussed with the concerned individual prior to the submission of the IPCR to the VPAA.
  - b. The Vice Chancellors shall make the final assessment of performance level of the individual employees in his/ her Institute/ Unit. The final assessment shall correspond to the adjectival description of outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor.  
  
The Vice Chancellors may adopt appropriate mechanism to assist him/ her distinguish performance level of individuals such as, but not limited to peer ranking and client satisfaction.
  - c. The average of all individual performance assessments shall not go higher than the collective performance assessment of the Institute/ Unit.
  - d. The Vice Chancellors shall ensure that the performance assessment of the employees is submitted to the HRM Office within the prescribed time.
  - e. The PMT shall serve as the appeals body and final arbiter on performance concerns. An employee who does not agree with the performance assessment received may file an appeal with the PMT through the HRM Office within 10 days from receipt of the final approved IPCR from the Supervisor. PMT shall decide on the appeals within one month from receipt of such appeal.
  - f. Non-submission or unjustifiable delay in the submission of the OPCR/ IPCR shall disqualify the Institute/ Unit and the staff for awards and incentives.

#### E.4 Performance Rewarding and Development Planning

In this process, the VPAA and deans/ directors shall discuss with the individual employee to assess the strengths, competency-related performance gaps and the opportunities to address these gaps, career paths and alternatives.

Employees are ranked within clusters and categorized based on complexity of work and accountability. This also forms part of the discussion between the rater and the ratee where they assess competency-related performance gaps and the opportunities to address these gaps and the opportunities to address these gaps, career paths and alternatives.

The result of the performance evaluations/assessments shall serve as inputs to the:

- Vice Chancellors in identifying and providing the kinds of, interventions needed, based on the developmental needs identified;
- HRM Office in consolidating and coordinating developmental interventions that will form part of the Human Resource Plan and the basis for rewards and incentives; and
- Rewards Committee in identifying top performers of the organization who qualify for rewards and incentives,

### VI. SPMS INITIATION IMPLEMENTATION

6.1 Chancellor shall:

- a. Constitute a Performance Management Team (PMT)
- b. Review existing Performance Evaluation System and decide on whether the same conforms to the features of the Strategic Performance Management System.
- c. Amend, enhance or develop Agency Performance Management System and submit the same to CSC for review/ approval.
- d. Conduct orientation and reorientation on the new and revised policies on SPMS for all employees, This is to promote awareness and interest on the system, generate employees' appreciation for the agency SPMS as a management tool for performance planning, control and improvement, and guarantee employees' internalization of their role as partners of management and co-employees in meeting organization performance goals,
- e. Administer the approved Agency SPMS in accordance with these guidelines/ standards.
- f. Provide the Civil Service Commission Regional/ Field Office concerned with a copy of the consolidated Individual Performance Review Reports indicating alignment of the collective individual performance rating with the Organizational/ Office Performance Rating.

### VII. USES OF PERFORMANCE RATINGS

- 7.1 Security of tenure of those holding permanent appointments is not but is based on performance.
- 7.2 Employees who obtain unsatisfactory rating for one rating period or exhibited poor performance shall be provided appropriate developmental intervention by the Head of Office and supervisor (Department/ Unit Head), in coordination with HRM office/ Personnel Office, to address competency related performance gaps.

- 7.3 If after advice and provision of developmental intervention the employees still obtains Unsatisfactory ratings in the immediately succeeding rating period or Poor rating for the immediately succeeding rating period, he/ she may be dropped from the rolls. A written notice/ advice from the head of office at least 3 months before the end of the rating period is required.
- 7.4 The PMT shall validate the Outstanding performance ratings and may recommend concerned employees for performance-based awards. Grant of performance-based incentives shall be based on the final ratings of employees as approved by the Head of Office.
- 7.5 Performance ratings shall be used as basis for promotion, training and scholarship grants and other personnel actions.
- 7.6 Employees with Outstanding and Very Satisfactory performance ratings shall be considered for the above mentioned personnel actions and other related matters.
- 7.8 For purposes of performance-based benefits, employees who are on official travel, scholarship or training within a rating period shall use their performance ratings obtained in the immediately preceding rating period.
- 7.9 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 mother (plantilla) office or present office, where the employees have spent majority of their time during the rating period.

## **VII. Miscellaneous Provisions**

### **8.1 Technical Assistance to Agencies**

Heads of agencies may request technical assistance from the CSC Regional/Field concerned on the development, implementation, or refinement of their agency SPMS.

### **8.2 Sanctions**

Unless justified and accepted by the PMT, non-submission of the Office Performance Commitment and Review form to the PMT, and the Individual employee's performance Commitment and Review forms to the HRM Office/Personnel office within these specified dated shall be a ground for :

- a. Employees' disqualification for performance-based personnel actions which would require the rating for the given period such as promotion, training or scholarship grants and performance enhancement bonus, if the failure of submission of the report form is the fault of the employees.
- b. An administrative sanction for violation of reasonable office rules and regulations and simple neglect of duty for the supervisors or employees responsible for the delay or non-submission of the office and individual performance commitment and review report.

- c. Failure on the part of the Head of Office to comply with the required notices to their subordinates for their unsatisfactory or poor performance during a rating period shall be a ground for an administrative offense for neglect of duty.
- d. Non-submission of agency SPMS to the Civil Service Commission for review/approval shall be a ground for disapproval of promotional appointments issued by concerned agency heads.

### 8.3 Appeals

- a. Office performance assessment as discussed with their final performance review conference shall be final and not appealable. Any issue/appeal on the initial performance assessment of an Office shall be discussed and decided during the performance review conference
- b. Individual employees who feel aggrieved or dissatisfied with their final performance ratings can file an appeal with the PMT within ten (10) days from the date of receipt of notice of their final performance evaluation rating from the Head of Office. An office/unit or individual employee, however, shall not be allowed to protest the performance ratings of other office/unit or co- employees. Ratings obtained by other office/unit or employees can only be used as basis or reference for comparison in appealing one's office or individual performance rating.
- c. The PMT shall decide on the appeals within one month from receipt.

Appeals lodged at any PMT shall follow the hierarchical jurisdiction of various PMTs in an agency. For example, the decision of the Provincial PMT is appealable to the Regional PMT which decision is in turn appealable to the National/Central Office PMT.

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

**PROSERPINA G. ROXAS, Ph.D**  
Chancellor