

Revisiting UP-PES

UNIVERSITY OF THE PHILIPPINES
PERFORMANCE EVALUATION SYSTEM (UP-PES)

Why is there a need for PES?

Rule IX Section I, Omnibus Rules Implementing Book V of E.O. No. 292 states that:

“There shall be established
PERFORMANCE EVALUATION SYSTEM
in every department or agency of the
national and local government, including
state universities and colleges and
government-owned and controlled
corporations”



What is UP- PES?

- CSC approved **PERFORMANCE EVALUATION SYSTEM** for the University of the Philippines System;
- An instrument that measures the performance of each employee



Who are covered?

First and second levele ve Ladminis trative staff and REPS (regular and non-regular);

- UP-PES for ADMINISTRATIVE STAFF (effective January 2002)
- UP-PES for REPS (effective 2005)

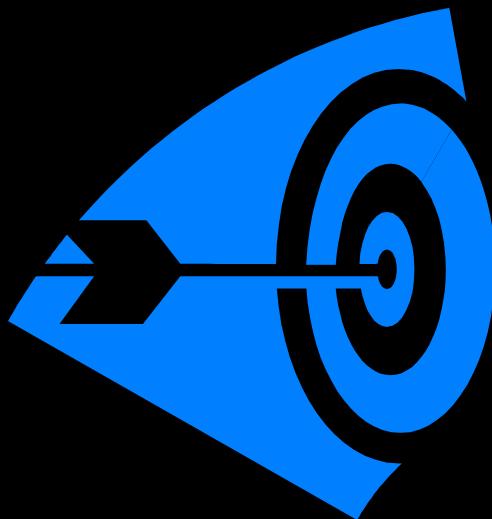


Why is PES important?

1. To foster improvement of employee performance and efficiency;
2. To enhance organizational effectiveness and productivity;
3. To use as basis for incentive and rewards, promotion, training and development.



What are the elements of PES?



- *Performance Target (PT)*
- *Performance Rating (PR)*

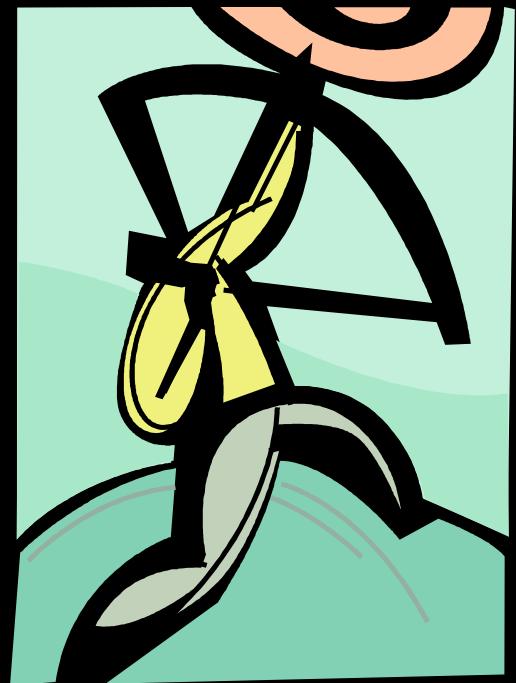
What is a Performance Target (PT)



- Actual duties and responsibilities expressed in terms of performance outputs as mutually agreed upon by the state and the state

How do we set PTs and standards?

1. Identify tasks / activities that an individual should accomplish ~~in six~~ (6) months
2. Set PTs using the prescribed PES form;

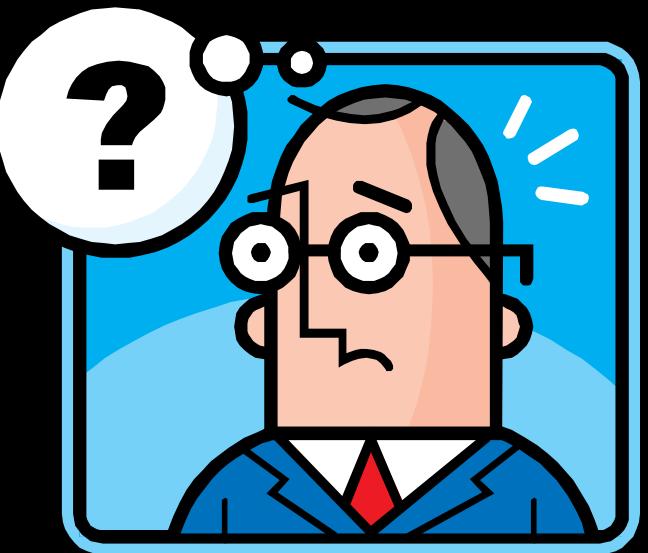


How do we set PTs and standards?

3. Supervisors shall discuss PTs and standards with the ratee;
4. Ratee and ratee shall sign the PES form;
5. Submit fully accomplished forms to HRDO



Are we allowed to modify PTs



Only if modification is based on the following conditions:

- changes brought about by new mandates and programs of the agency in general and the organizational unit in particular
- special assignments that would replace or modify the original targets



Procedure for Modification of submitted PTs

- Discuss changes with the ratee;
- Supervisors shall immediately notify the HRDO of any modifications to serve as guide in the review of ratings of affected employees

What are the components of Performance Rating (PR)

- Part I - Rating on Task Performance (ADMIN - 70% ; REPS - 80%)**
- Part II - Rating on Critical Factors (ADMIN - 30% ; REPS - 20%)**



PART I - RATING ON TASK PERFORMANCE

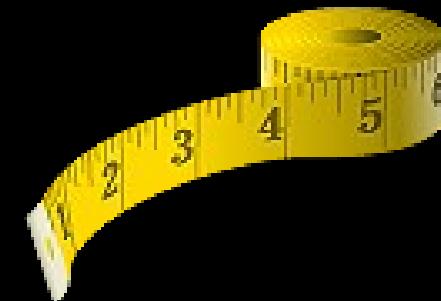
- Actual accomplishment versus planned level of performance in terms of **quantity** and **quality**;
- **Quantity** refers to the volume / magnitude of accomplishment within a specific time frame ;
- **Quality** refers to the distinctive features that reflect the degree of excellence or superiority



PART I - RATING ON TASK

PERFORMANCE

Quantity:



4 - (OUTSTANDING) Consistently meets requirements before the deadline

3 - (VERY SATISFACTORY) Frequently meets requirements before the deadline

2 - (SATISFACTORY) Meets requirements and task completed on the deadline

1 - (UNSATISFACTORY) Frequently performs below requirements; task completed but after the deadline

PART I - RATING ON TASK PERFORMANCE

Quality:

- 4** - (OUTSTANDING) Work is accurate and exceptional
- 3** - (VERY SATISFACTORY) Work is accurate and highly acceptable
- 2** - (SATISFACTORY) Does fairly good work; has few errors; normally acceptable
- 1** - (UNSATISFACTORY) Work is not acceptable; commits frequent mistakes



PART II - RATING ON CRITICAL FACTORS



- Behavioural dimensions that affect the job performance of the employee
- 9 behavioural factors: **INITIATIVE, HUMAN RELATIONS, ATTENDANCE, PUNCTUALITY, ETHICAL BEHAVIOR, COMMITMENT, JUDGMENT, STRESS TOLERANCE, and LEADERSHIP** (for supervisors only)
- Supervisor's rating (60%) and Self-rating (40%)

Intervening Tasks (ITs)

- Tasks assigned in addition to the regular functions of the employee after the PTs have been set,
- Maximum of 0.5 additional points for ITs
- **Provided**, planned targets were all accomplished and met at least as satisfactory



OVERALL Performance Rating

(PES for ADMIN)

Numerical

3.81 - 4.00

3.21 - 3.80

2.21 - 3.20

1.00 - 2.20

Adjectival

Outstanding

Very Satisfactory

Satisfactory

Unsatisfactory



OVERALL Performance Rating

(PES for REPS)

Numerical

3.5 - 4.0

3.0 - below 3.5

2.5 - below 3.0

Below 2.5

Adjectival

Outstanding

Very Satisfactory

Satisfactory

Unsatisfactory



PROGRESS REVIEW



- Rate and rate employee at least once a month to monitor the progress of work accomplishments and when necessary conduct employee counselling;

APPRAISAL DISCUSSION AND RATING PROPER

- At the end of the rating period, rater and ratee meet to discuss the latter's accomplishments against established PTS;
- For Part I- supervisor rates the ratee; rater and ratee discuss differences, if any;
- For Part II- both rater and ratee give their ratings (Rater- 60% and Ratee- 40%)



APPRAISAL DISCUSSION AND RATING PROPER

- Rater computes the overall PR of the employee using the prescribed performance indicators;
- Raters shall discuss with the rater the FINAL PR given and ensure submission to HRDO (not later than the end of the first month of the succeeding rating period)



SCHEDULE OF SUBMISSION



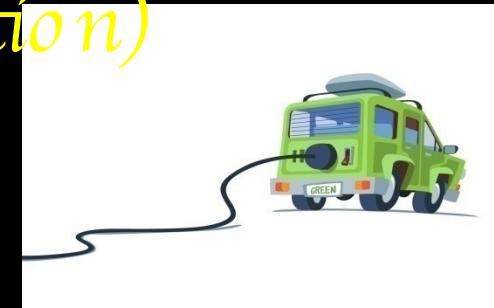
Rating Period	Submission of Performance Target	Submission of Performance Rating
January to June	on or before January 15	not later than July 31
July to December	on or before July 15	not later than January 31 of the following year

- Officials and employees who shall be on official travel, approve leave of absence, training or scholarship programs and who have already met the required drafting period of **90 days** are required to submit their PTs and accomplished

**PES forms before
leave the office**



- For purposes of performance-based personnel actions, **employees who are not given ratings for a particular period on account of official travel, scholarship, etc., shall use their PRs obtained in the preceding rating period (except for those who are on vacation leave, even with an approved application)**



PE Form

PES Form

Office Performance Evaluation System (OPES)

CSCMC 7, S. 2007

*“... CSC directed all
government agencies to install
the FMS-OPES....”*

Sections of AO No. 241 dated October 2, 2008 (Mandating the speedy implementation of RA 9485 or the Anti-Red Tape Act of 2007 and its RR and strengthening the application thereof)

“....directs all agencies to “institute a **Performance Evaluation System** based on objective by measure the output and performance of personnel and units, such as the **PMS-OPES** developed by the CSC.”

CSC's observations...

- Everyone gets VS or O
- Complaints from public
- Hardly anyone is dropped for *poor* or *unsatisfactory* performance

CSC's explanations...

- Subjectivity vs. Objectivity
- Culture
- Not taken seriously – not integrated
- Limited to ritual of performance evaluation

CSC's resolution... .

We need to improve
the existing
system..

Hence, the need
for PM-OPES

What is PMS-OPES?



- A points system which sets uniform standards across organizational units;
- Concept that creates a culture of individual and collective efficiency, productivity, accountability, and **performance-based security of tenure** in government.
- Used to complement the PMS

What is PM&-OPES?



- ❑ Measures the collective performance of an office
- ❑ Focuses on outputs
- ❑ Uses a standard unit of measure
- ❑ Allows comparison of performance across offices or function
- ❑ Applies to smallest operating units, i.e., divisions or sections

PM-OPES Features

1. Standard unit of measure through a **point system**

- Each output is assigned a number of points;
- Outputs are compiled into an OPES REFERENCE TABLE
- Points are based on the average length of time it takes 1 person to produce the output;

one (1) hour of work = one (1) point



PM-OPES Features

2. Target points

Determining Quantifiable (Q) versus Non-Quantifiable (non-Q) outputs

- *mix of Quantifiable and Non-Quantifiable outputs*
- *Quantifiable (Q) outputs refer to measurable results while Non-Quantifiable (Non-Q) outputs refer to everything that consumes time but output of which is not measurable (e.g. meetings, programs/communications, phone calls, and other support functions);*

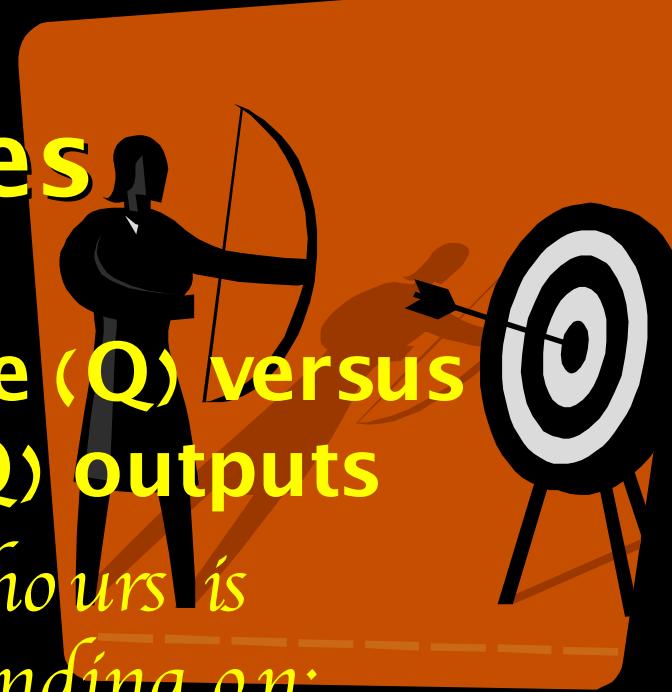


PM-OPES Features

2. Target points

Determining Quantifiable (Q) versus Non-Quantifiable (non-Q) outputs

- Proportion of Q and Non-Q hours is determined by the unit depending on: overall proportion of support staff to technical staff, hours spent on non-Q activities typical to the agency, nature of agency work;
- Q hours could be more than 50% while non-Q should not be more than 50%;



PMS- OPES Features



2. Target points

Determining Office Target Points

- The number of personnel in an office/division determines the collective target output of that division/office for the year.
- Individual annual target points \times number of personnel;

PMS- OPES Features

2. Target points

Determining Office Target Points

- Similar outputs earn the same points, regardless of division, area of expertise and geographical allocation. This shall provide

performance standard



PMS-OPES Features

Computation of Individual Target Points:

365 Days in a year

Less 104 Saturdays and Sundays

Less 10 Legal Holidays

Less 11 Mandatory and Special Leaves (*)

240 working days in a year

\times 8 hours in a day

1920 working hours in a year

Less 30% estimate down-Outputs

1344 points per staff per year

(*additional two (2) days leave for nursing mothers)



PMS- OPES Features

Computation of Office Target Points

Office target points per year/6 months
computed as follows:

- Target points per year = No. of staff \times 1344 points per staff
- Target points per 6 months = No. of staff \times 672 points per staff

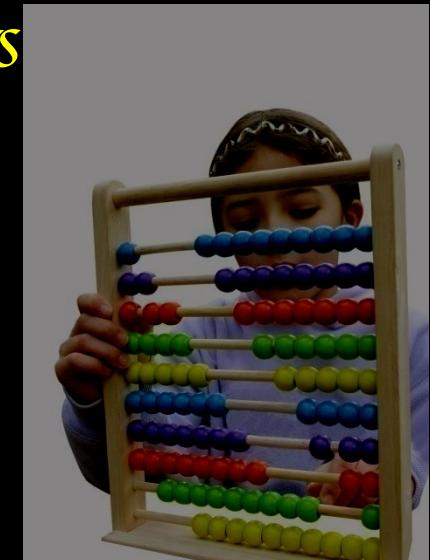


Sample Computation of Office Target (UP-HRDO)

Section	No. of Staff	Target Points	
		Per year	Per 6 months
Appointment	10	13,440	6,720
Recruitment	2	2,688	1,344
Scholarship	3	4,032	2,016
Benefit	10	13,440	6,720
Planning and Research	3	4,032	2,016
Monitoring and Evaluation	1	1,344	672
Information Management System	4	5,376	2,688
Administrative	8	10,752	5,376

OPES Reference Table

- **A list of the major outputs of an office** give its functions
- **Indicates corresponding points** that an output would earn when completed
- **Defines the standards** that must be met for completed outputs to earn points



OPES Reference Table

Guidelines for the development of an OPES Reference Table:

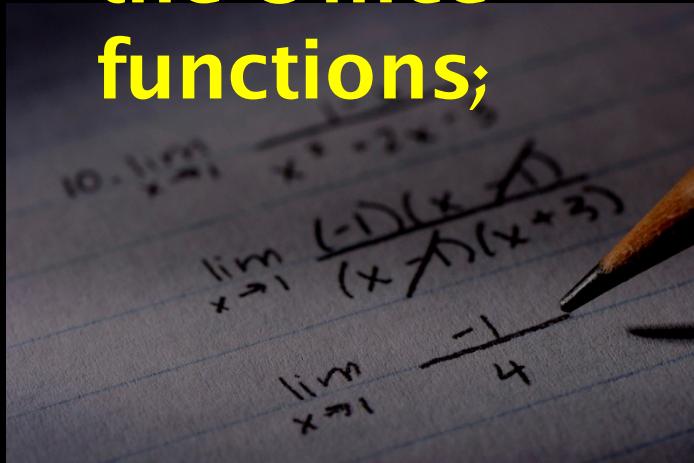
1. Determine functions of the Office;

Example: Functions of the Planning and Research Section (PRS)

- Undertake manpower needs forecasting, skills and knowledge inventory and formulation of manpower plans;
- Conduct continuing job audit and establish the University's staffing base level for academic and non-academic personnel;
- Process requests for authority to fill, classification, additional assignment, overtime, etc;
- Serve as secretariat of the System Personnel Committee;

OPES Reference Table

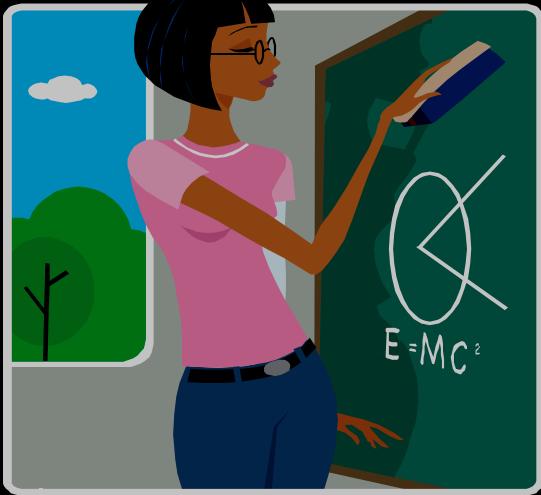
1. Identify and list down specific activities in line with the Office functions;



Function (List of Activities)

- b. To check the accuracy of all entries in basic papers & review the completeness of all supporting documents for the original appointments/reappointments/ classifications/promotion/nurture of persons (faculty, REPS, administrative persons)
- d. To review completeness of all supporting documents for the renewal of appointments of persons (faculty, REPS, administrative persons)

OPES Reference Table



2. Determine the expected output, performance indicator, time needed to accomplish each activity and its corresponding points (*time needed ÷ 60 minutes*) and the operational definition;

OPES Reference Table

Function	Output	Performance Indicator	Time needed	Points	Operational Definition
To review completeness of all supporting documents for the renewal of appointments of personnel	All required supporting documents are completed	Number of request	20	.33	Counterchecks completeness of required supporting documents against checklist

Setting Individual Target

1. Set individual output or target number of points per year (ex. 1,344);
2. Identify actual activities to be assigned to each staff and the corresponding percentage per activity (e.g. Activity #1 - **To process application for leave, 25%**)
3. Compute the expected output vis-à-vis time (based on the OPES Reference Table) required to process each activity;



Setting Individual Target

To illustrate:

Activity : To examine/verify/check DTR and post absences/undertime

Percentage (out of the 100%) : 25%

Total Hours per year : 336 hours

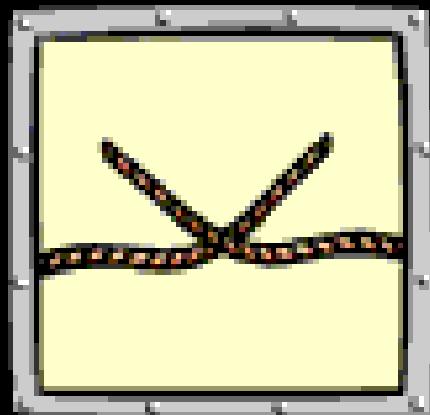
Time Required : 5 minutes per DTR

Expected # of output per year : 4032



Setting Individual Target

4. Rater must discuss with ratee items 1 to 3 above during target setting period



Monitoring/ Tagging Outputs

- Each employee shall keep a record of his/her outputs on a daily/weekly basis using the prescribed form;
- Supervisors shall also monitor outputs of his/her staff using the prescribed form



Evaluating Individual Output

Rate the individual in each activity based on the table below

% Accomplishment	Numerical Rating	Adjectival Rating
No output	0	Poor
1. below 90%	1	Unsatisfactory
90- below 110%	2	Satisfactory
110 – below 130%	3	Very satisfactory
130% and above	4	Outstanding

Evaluating Individual Output

FINAL RATING

Final Rating	Adjectival
≥ 3.5	O
2.5 – below 3.5	VS
1.5 below 2.5	S
below 1.5	U

Evaluating Individual Output

Only **quality** outputs are given points.

Planned output (c)

CODE (a)	PART I. DUTIES AND RESPONSIBILITIES (70%) (b)	CY		Position: (T)	Total Points
		Planned (c)	Actual (d)		

Actual output (d)

**Point/s based on the OPES
Ref Table (e)**

Total Pts

TOTAL (h)				
% ACCOMPLISHMENT (i) = $(\sum d / \sum f) \times 100$				
NUMERICAL RATING(j)				
ADJECTIVAL RATING(k)				
TOTAL PART I (l = i x 70%)				

PERFORMANCE CONTRACT

I shall strive to deliver quality service in the performance of my task by achieving the HIGHEST possible work standard as established by the unit PERC and agreed upon with my supervisor.

Planned points {f = (c x e)}

of Unit/Office

Date

Actual Pts (g = d x e)

Head of Unit/Office

Date

Date

OUTPUT (QTY)		Point/s (OPES Reference Table)	TOTAL POINTS	
Planned (c)	Actual (d)	(e)	Planned (f=c x e)	Actual (g=d x e)
10	8	.33	3.3	2.64
20	40	1.00	20	40

$$\sum f = 23.3$$

$$\sum g = 42.64$$

$$\% \text{ Accomplishment (i)} = 183\%$$

$$\text{Numerical Rating (j)} = 4$$

Adjectival Rating (k) = Outstanding

$$\text{Total Rating (Part I)} | = j \times 70\% = 2.8$$

Name of Staff

Output (QTY)

Total Point

NAME OF STAFF		OUTPUT (QTY)		Total Points	
Name :	Unit/Office/Dept:	Planned	Actual	Planned	Actual
(a)	(b)	(c)	(e)	TOTAL (f)	
$\% \text{ ACCOMPLISHMENT (g) = (c/e) / (d/f)}$ #DIV/0!					
NUMERICAL RATING (h)					
ADJECTIVAL RATING (i)					
TOTAL PART I (i = h x 70%)					
PERFORMANCE CONTRACT					
I shall strive to deliver quality service in the performance of my task by achieving the HIGHEST possible work standard as established by the unit PERC and agreed upon with my supervisor.					
Unit Head _____ Date _____					
PERFORMANCE RATING (to be signed only at the end of the rating period)					
Unit Head _____ Date _____					

	OUTPUT (QTY)		TOTAL (POINTS)	
Name of Staff	Planned (b)	Actual (c)	Planned (d)	Actual (e)
Maria	15	11	4.95	3.63
Marie	15	25	4.95	8.25

Points per activity = .33

% Accomplishment: $(g = \sum e / \sum d) = 120\%$

Numerical Rating (h) = 3

Adjectival Rating (i) = Very satisfactory

Total Rating (Part I): $(j = h \times 70\%) = 2.1$

Compare performance across offices

- Example:

Office	Number of Employees	Total Target Points	Actual Points Delivered	%
A	10	13,440	10,453	78%
B	16	21,504	28,478	132%
C	200	268,800	272,284	101%
D	96	129,024	86,794	67%

Most productive

Least productive

Thank you!!!