

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?

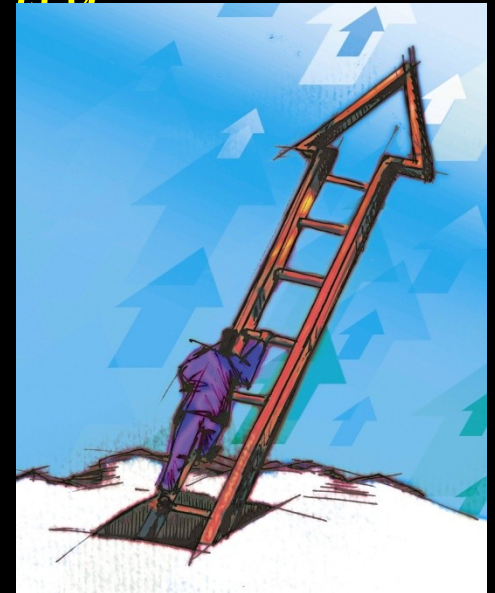
First and second level Administrative staff and REPS (regular and non regular);

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

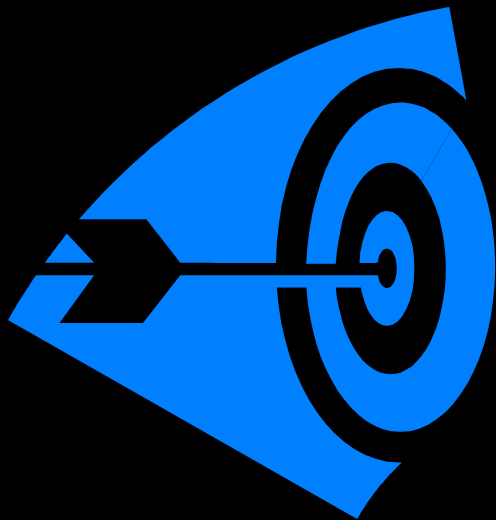


Why is PES important ?

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*
(ΦT)
- *Performance Rating*
(ΦR)

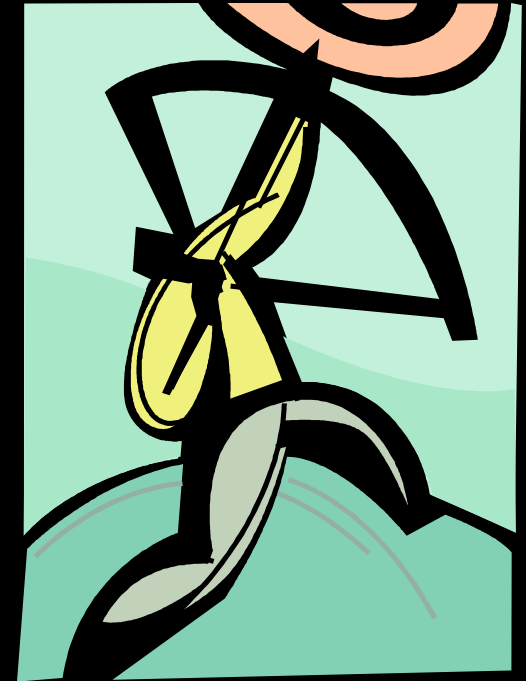
What is a Performance Target (PT)



- 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 for six (6) months
2. Set PTs using the prescribed PES form;

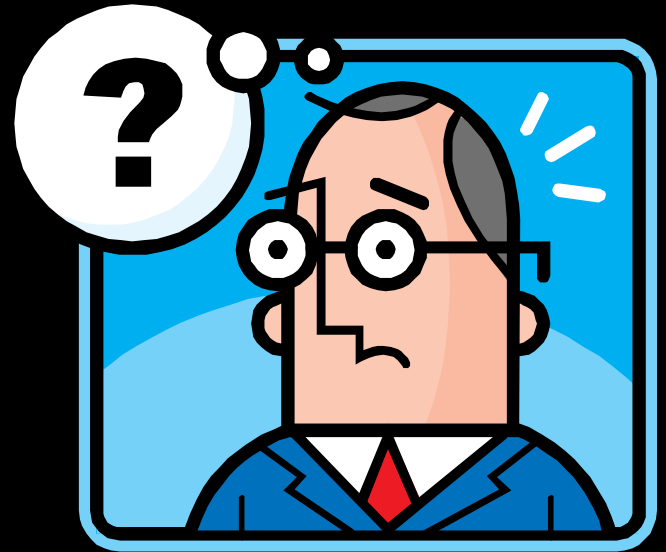


How do we set PTs and standards?

3. Supervisors shall discuss PTs and standards with the ratee;
4. Ratee and ratee's 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)

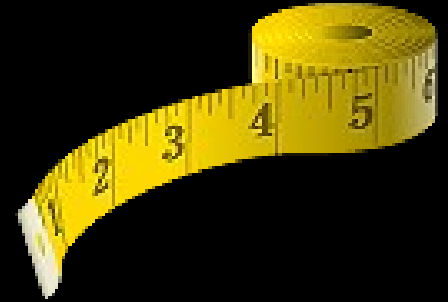
- **Part I - Rating on Task Performance** (ADMIN - 70%; REPS - 80%)
- **Part II - Rating on Critical Factors** (ADMIN - 30%; REPS - 20%)

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 point for IT;
- **Provided**, planned targets were all accomplished and rate of satisfaction



OVERALL Performance Rating

(PES for ADMIN)

Nu m e r i c a l

A d j e c t i v e

3.81 – 4.00

Outstanding

3.21 – 3.80

Very Satisfactory

2.21 – 3.20

Satisfactory

1.00 – 2.20

Unsatisfactory



OVERALL Performance Rating

(PES for REPS)

Numerical

Adjectival

3.5 - 4.0

Outstanding

3.0 - below 3.5

Very Satisfactory

2.5 - below 3.0

Satisfactory

Below 2.5

Unsatisfactory



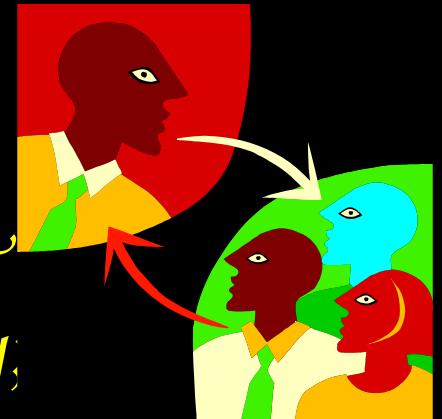
PROGRESS REVIEW



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

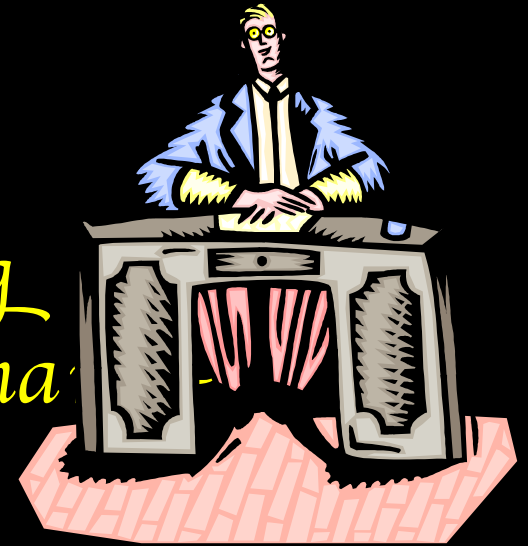
APPRAISAL DISCUSSION AND RATING PROPER

- 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 ratee 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

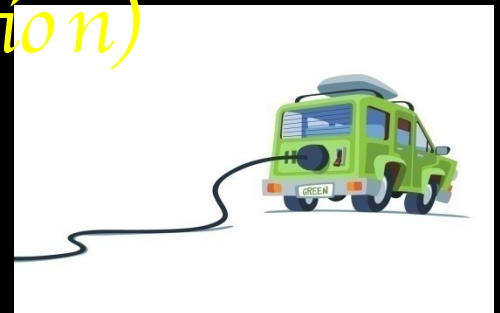
- Officials and employees who shall be on official travel, approved leave of absence, training or scholarship programs and who have already met the required waiting period of **90 days** are **required to submit their PTs and accomplished**

PES forms before

leave the



- 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)**



PhE Form

Year	2010	2011	2012	2013	2014	2015
1. Total	100	100	100	100	100	100
2. Government	100	100	100	100	100	100
3. Private	0	0	0	0	0	0
4. Government	100	100	100	100	100	100
5. Private	0	0	0	0	0	0
6. Government	100	100	100	100	100	100
7. Private	0	0	0	0	0	0
8. Government	100	100	100	100	100	100
9. Private	0	0	0	0	0	0
10. Government	100	100	100	100	100	100
11. Private	0	0	0	0	0	0
12. Government	100	100	100	100	100	100
13. Private	0	0	0	0	0	0
14. Government	100	100	100	100	100	100
15. Private	0	0	0	0	0	0
16. Government	100	100	100	100	100	100
17. Private	0	0	0	0	0	0
18. Government	100	100	100	100	100	100
19. Private	0	0	0	0	0	0
20. Government	100	100	100	100	100	100
21. Private	0	0	0	0	0	0
22. Government	100	100	100	100	100	100
23. Private	0	0	0	0	0	0
24. Government	100	100	100	100	100	100
25. Private	0	0	0	0	0	0
26. Government	100	100	100	100	100	100
27. Private	0	0	0	0	0	0
28. Government	100	100	100	100	100	100
29. Private	0	0	0	0	0	0
30. Government	100	100	100	100	100	100
31. Private	0	0	0	0	0	0
32. Government	100	100	100	100	100	100
33. Private	0	0	0	0	0	0
34. Government	100	100	100	100	100	100
35. Private	0	0	0	0	0	0
36. Government	100	100	100	100	100	100
37. Private	0	0	0	0	0	0
38. Government	100	100	100	100	100	100
39. Private	0	0	0	0	0	0
40. Government	100	100	100	100	100	100
41. Private	0	0	0	0	0	0
42. Government	100	100	100	100	100	100
43. Private	0	0	0	0	0	0
44. Government	100	100	100	100	100	100
45. Private	0	0	0	0	0	0
46. Government	100	100	100	100	100	100
47. Private	0	0	0	0	0	0
48. Government	100	100	100	100	100	100
49. Private	0	0	0	0	0	0
50. Government	100	100	100	100	100	100
51. Private	0	0	0	0	0	0
52. Government	100	100	100	100	100	100
53. Private	0	0	0	0	0	0
54. Government	100	100	100	100	100	100
55. Private	0	0	0	0	0	0
56. Government	100	100	100	100	100	100
57. Private	0	0	0	0	0	0
58. Government	100	100	100	100	100	100
59. Private	0	0	0	0	0	0
60. Government	100	100	100	100	100	100
61. Private	0	0	0	0	0	0
62. Government	100	100	100	10		

PES Form

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Office Performance Evaluation System (OPES)

CSC MC 7, s. 2007

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

Section 5 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 IR and strengthening the
application thereof)

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

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 PMS-OPES**

What is PMS-OPES?



- A joint 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 PMS-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

PMS-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

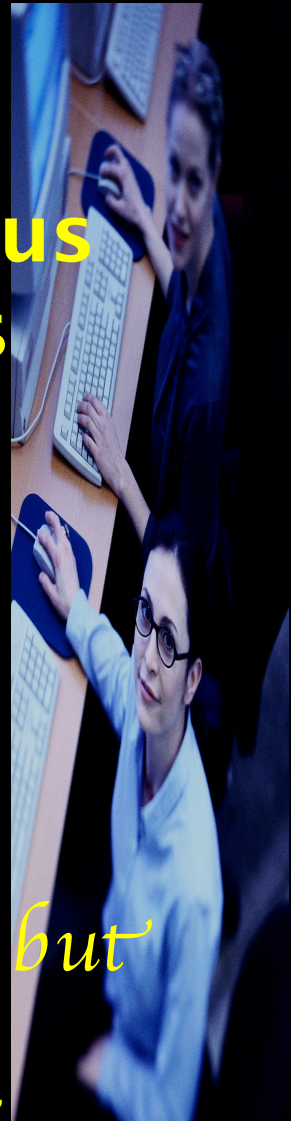


PMS-OPES Features

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/ceremonies, phone-calls, and other support functions);*

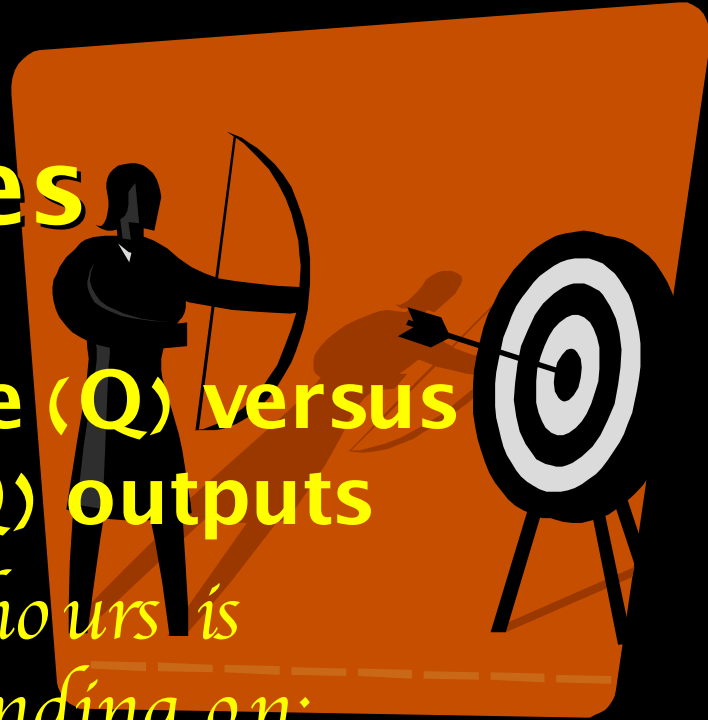


PMS-OPES Features

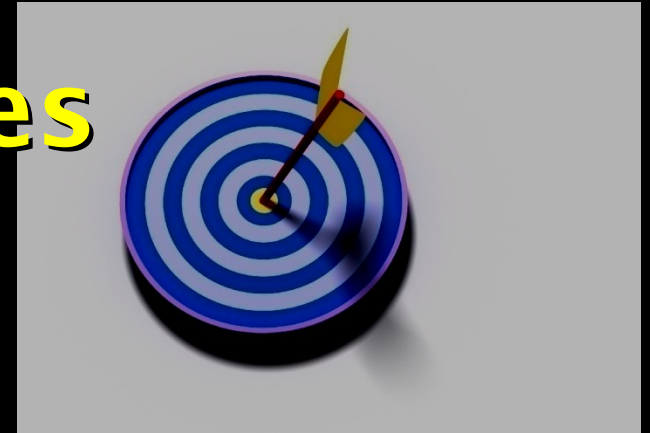
2. Target points

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 X 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 geographic location. 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 <u>11</u>	Mandatory and Special Leaves (*)
240	working days in a year
x <u>8</u>	hours in a day
1920	working hours in a year
Less 30%	estimated non-Q 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

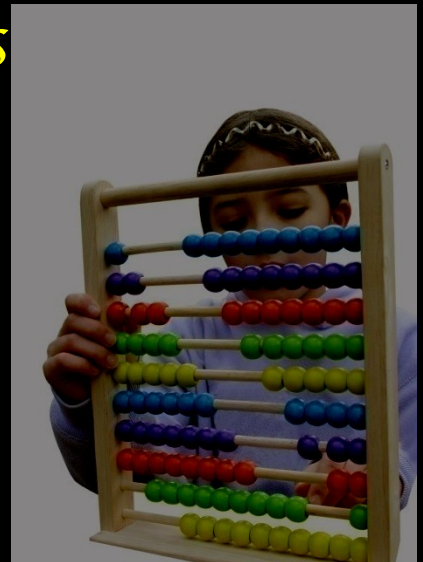


Sample Computation of Office Target (UP-HRDO)

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:

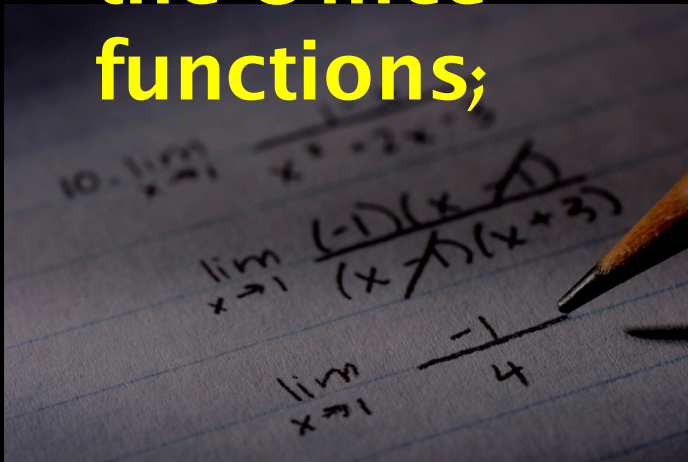
1. Determine functions of the Office;

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 per unit for academic and non-academic personnel;
- ❑ Process requests for authority to fill, reclassification, additional assignment, overtime, etc;
- ❑ Serve as secretariat of the System Personnel Committee;

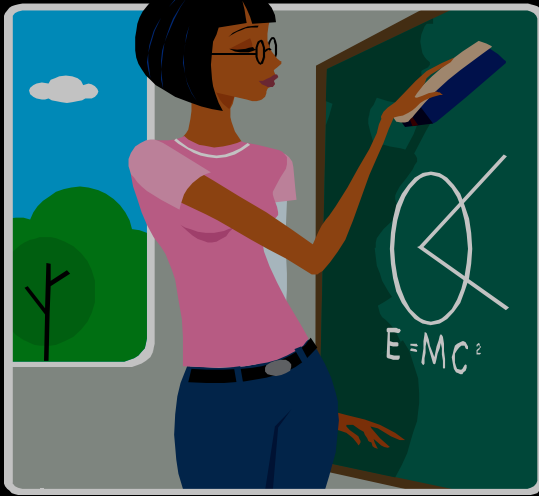
OPES Reference Table

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/re appointments/ reclassification/promotion/tenure of persons (Faculty, R&PS, administrative persons)
- d. To review completeness of all supporting documents for the renewal of appointments of persons (Faculty, R&PS, 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 – **Toprocess 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

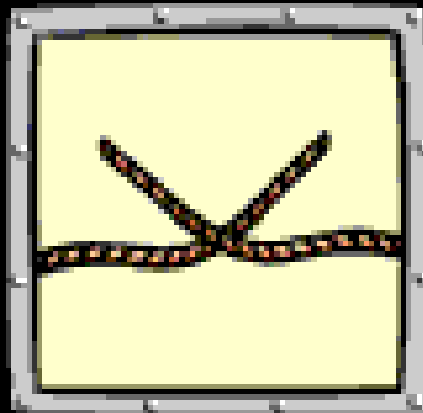
Time Required : 5 minutes per DTR

Expected # of output per year : 4032



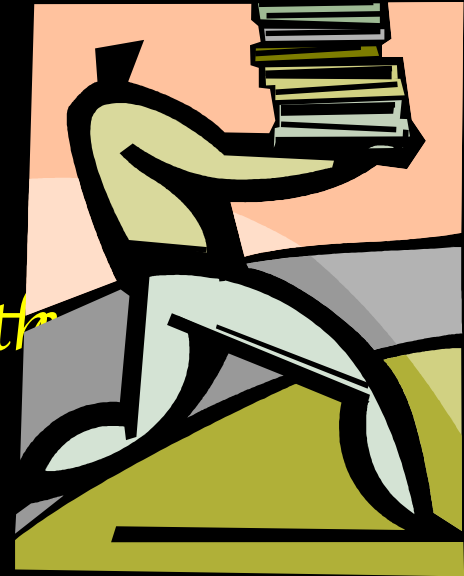
Setting Individual Target

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.*

Actual output (d)

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

Total Pts

Planned points $\{f = (c \times e)\}$

Actual Pts ($g = d \times e$)

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

$$\sum f = 23.3$$

$$\sum g = 42.64$$

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

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

$$\text{Adjectival Rating (k)} = \text{Outstanding}$$

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

Name of Staff	
1	Mr. A. B. C.
2	Mr. D. E. F.
3	Mr. G. H. I.
4	Mr. J. K. L.
5	Mr. M. N. O.
6	Mr. P. Q. R.
7	Mr. S. T. U.
8	Mr. V. W. X.
9	Mr. Y. Z. A.
10	Mr. B. C. D.
11	Mr. E. F. G.
12	Mr. H. I. J.
13	Mr. K. L. M.
14	Mr. N. O. P.
15	Mr. Q. R. S.
16	Mr. T. U. V.
17	Mr. W. X. Y.
18	Mr. Z. A. B.
19	Mr. C. D. E.
20	Mr. F. G. H.
21	Mr. I. J. K.
22	Mr. L. M. N.
23	Mr. O. P. Q.
24	Mr. R. S. T.
25	Mr. U. V. W.
26	Mr. X. Y. Z.
27	Mr. A. B. C.
28	Mr. D. E. F.
29	Mr. G. H. I.
30	Mr. J. K. L.
31	Mr. M. N. O.
32	Mr. P. Q. R.
33	Mr. S. T. U.
34	Mr. V. W. X.
35	Mr. Y. Z. A.
36	Mr. B. C. D.
37	Mr. E. F. G.
38	Mr. H. I. J.
39	Mr. K. L. M.
40	Mr. N. O. P.
41	Mr. Q. R. S.
42	Mr. T. U. V.
43	Mr. W. X. Y.
44	Mr. Z. A. B.
45	Mr. C. D. E.
46	Mr. F. G. H.
47	Mr. I. J. K.
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94	Mr. T. U. V.
95	Mr. W. X. Y.
96	Mr. Z. A. B.
97	Mr. C. D. E.
98	Mr. F. G. H.
99	Mr. I. J. K.
100	Mr. L. M. N.

Output (QTY)

Total Point

[illegible]

	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%	← Most productive
C	200	268,800	272,284	101%	
D	96	129,024	86,794	67%	← Least productive

Thank you!!!