

GUIDELINES ON THE ASSESSMENT OF INDIVIDUAL PERSONNEL

In line with the Grant of the Performance-Based Bonus (PBB) for FY 2014

I. Scope and Coverage

1. **ELIGIBILITY CRITERIA.** All officials and employees who have rendered at least nine (9) months of service for the year ending **December 31, 2014**, i.e. employed on or before **March 31, 2014** shall be eligible to the **full** grant of the PBB provided they are:

- ⊙ holding regular plantilla positions; or
- ⊙ casual and contractual employees having an employer-employee relationship with the Department and whose salaries are drawn from the PS budget.

- a. Employees who rendered a minimum of **three (3) months but less than nine (9) months** of service whose rating is at least “Satisfactory” shall be eligible to the grant of PBB on a **pro-rata** basis:

Length of Service	% of PBB	Valid Reasons
8 months but less than 9 months	90%	<ul style="list-style-type: none"> ♦ Newly-hired ♦ Retirement/ Resignation ♦ Rehabilitation Leave ♦ Maternity Leave ♦ Vacation or Sick Leave with or without pay ♦ Scholarship / Study Leave ♦ Sabbatical Leave
7 months but less than 8 months	80%	
6 months but less than 7 months	70%	
5 months but less than 6 months	60%	
4 months but less than 5 months	50%	
3 months but less than 4 months	40%	

- b. IATF MC 2014-02 Sec. 3.3/3.4: Include personnel in the ranking of employees in the **recipient** agency if:

- On detail or on secondment to another government agency for six (6) months or more as of **November 30, 2014**;
- Transferred from one government agency to another government agency and have already rendered six (6) months of service or more as of **November 30, 2014** in the recipient agency.

2. **RATING PERIOD:** 1st and 2nd semesters of 2014. However, if there is a need for a shorter or a longer period, minimum appraisal period is at least ninety (90) days or three (3) months while the maximum is not longer than one (1) calendar year. The 360° feedback shall be done annually.

3. **PERFORMANCE RATING:** Individuals who receive performance ratings below the minimum required for their position level shall **not** be qualified for the PBB (IATF MC 2014-02 Section 3.2):

- First and Second Level Employees - Satisfactory or Fully Successful
- Third Level Officials - Very Satisfactory (CESPES)
- Other Officials not covered by the CESPES - Satisfactory (TOPAS)

II. Mechanics of Rating and Ranking

1. **Individual Performance Rating (IPR).** Employee performance shall consist of the IPAS/TOPAS/PGS Rating and the Overall 360° Rating based on the following formula:

INDIVIDUAL PERFORMANCE RATING (IPR)	=	PAS/PGS	+	360° Behavioral Assessment
		70%		30%

- a. **PAS/PGS Rating.** An employee shall receive a weighted score equivalent to 70% of his/her performance ratings (calibrated IPAS or PGS Scorecard/Dashboard ratings) for the period covered. Submission of IPAS forms with **un-calibrated** ratings shall automatically result to a rating of “1” for the affected performance period. However, failure to submit IPAS documents shall forfeit any benefits/incentives the employee may be entitled to.
- b. **360° Behavioral Assessment.** The remaining 30% shall be based on a multi-rater assessment of an employee’s behaviour and the extent to which he/she has:
- demonstrated the best of DTI values (Professionalism, Service Orientation, Integrity, Continuous Learning and Growth, Creativity, Teammanship, Resourcefulness, Conscientiousness and Loyalty); and
 - reflected the Department’s brand as “Agency of Choice.”

Using ranking as the primary methodology, the employee’s 360° Behavioral Assessment score shall be computed as follows:

OVERALL 360° BEHAVIORAL ASSESSMENT SCORE	=	Average Superior	+	Average Peer & Subordinate
		50%		50%

- Each employee shall be ranked by other officials and employees within the work unit.
- The employee Rater shall be required to rank other personnel within the same unit (or even from other units, as applicable based on the attached **Matrix of Raters and Ratees**). Depending on the position of the Rater relative to the Ratee, his/her given score shall be categorized accordingly either as Superior or Peer & Subordinate. The employee shall exclude himself/herself from the ranking.
- The average of the rank scores received by an employee (segregated into Superior or Peer & Subordinate categorie) shall be computed and again ranked with those of other Ratees belonging to the same group. Based on this secondary ranking and the size of the group, the Ratee shall receive a **Rank-Equivalent Score** or **RES** as indicated in the attached **Frequency Distribution Table of Rank-Score Equivalents**.
- The RES is an assigned score from a scale of 1 to 5 (with 0.5 increments) corresponding to the ratee’s rank within a group of specific size. An employee shall receive one RES for each unique group that he/she would be included in as a ratee, classified according to rater category, e.g. Heads of offices shall have several RES: Internal (subordinates) and External (peers/other heads of offices and superior/FG Head).
- All the RES’s which the employee receives per rater category (Superior and Peer & Subordinate) shall again be averaged and the over-all weighted score (50% Superior + 50% Peer and Subordinate) shall be computed. This shall comprise thirty percent (30%) of the employee’s IPR.

III. 360° Behavioral Assessment: Ranking Scheme (BARS)

Based on the **levels** of hierarchy, the **number** of divisions/subsections, and the **size** of the unit, the Head of the bureau/office/unit may adopt any of the recommended schemes below. As the level of interaction may vary within a unit as a function of its size or internal organization, the raters' capacity to provide objective/valid assessment/ranking shall be given consideration when selecting the scheme to be adopted.

TYPE	Unit / Group Size	Ranking Scheme (Within Unit)	Hierarchy of Positions	Ranking Forms / Groups
A	1 – 2	Superior's Decision	Manager – Other Staff	1 (one) Internal for all / External
B	3 – 18	Single Ranking	Manager – Supervisors – Other Staff	1 (one) Internal for all / External
C	Above 18	Single Ranking OR Multi-level Ranking	Manager – Group/Section Heads - Supervisors – Other Staff	Multiple Internal Ranking Forms (per sub-group) / External

Ranking Scheme Options based on Unit Size:

1. **Type A (360° BAR).** For the 360° feedback, the Supervising Head/Director shall determine the rank of affected personnel, subject to the approval of the Functional Group (FG) Head/Undersecretary. Should one of the two personnel receive a peer/superior rating as a ratee within another group, the data shall serve as additional input in the final determination of ranking.
2. **Type B (360° BAR).** Bureaus/Offices/Units with 3 to 18 personnel shall implement a Single Ranking Scheme where all employees shall rank one another based on one (1) list containing all of their names. Self-rating shall not be included.
3. **Type C (360° BAR).** Relatively larger Bureaus/Offices/Units (more than 18 personnel) may choose to implement either a Single Ranking Scheme (same as for Type B) or a Multi-Level Ranking. For units that choose to implement multi-level ranking, the employees shall form sub-groups, preferably composed of nine (9) or more personnel, who will rank each personnel within their sub-group. Still excluding self-rating, the average Superior and Peer/Subordinate Ranking received by an employee shall be computed and the corresponding RES's shall be determined.

IV. Individual Performance Category

Officials and employees of bureaus, offices, or delivery units that qualified for the PBB shall be subject to forced-ranking based on their overall individual performance ratings (IPR's) and shall be categorized as follows:

<i>Individual Performance Category</i>	BEST BUREAUS	BETTER BUREAUS	GOOD BUREAUS
Best Performer	Top 20%	Top 15%	Top 10%
Better Performer	Next 35%	Next 30%	Next 25%
Good Performer	Next 45%	Next 55%	Next 65%

V. Other/Special Provisions:

1. 360° Feedback Cross-Functional Group Ranking/Composite Ranking

- a. **MSG/OSEC Heads.** As their units often interact with and provide overall support to other units within the Department, the Heads of MSG/OSEC Offices/Units shall be cross-rated by the heads of other functional groups, including Regional Directors, and vice versa.
- b. **Regional Directors/Assistant Directors (Heads).** As Superior Raters, ROG and CPG Supervising Heads (Undersecretaries) shall rank all Regional Office Heads.
- c. **FTSC Trade Service Officers and BOI Third Level Officials.** As they report to the IPG and IDG Heads, FTSC Trade Service Officers and the BOI 3rd Level Officials shall be ranked by both or either one of their respective Supervising Heads (Undersecretaries), as applicable.
- d. **DTI CARP Personnel.** Superior Rating of DTI CARP Personnel assigned in the Regional / Provincial Offices shall be computed as follows: 30% PM Abad’s Rating + 70% Superior Rating (Regional / Provincial)

2. Officer-In-Charge of a Bureau/Office/Unit/Division. Whether as Ratee or Rater, all employees who are designated to a higher position shall be categorized as Superior, Peer or Subordinate based on the actual functions performed, and shall rank and be ranked accordingly , e.g. OICs of Bureaus/ Offices shall be ranked with other full-pledged bureaus/office heads as Peer, as well as rank other personnel as their Superior.

3. PBB Cap for Bureau/Office/Unit Heads. The “Individual Performance Category” of the Head of a Bureau/Office may not exceed the “Bureau Category” of the unit which he supervises and to which he/she is originally assigned.

4. Grant of PBB to Heads of Multiple Units. Officials supervising more than one bureau/office/unit receiving different Organizational Performance Ratings (OPR), thus different Bureau Categories, shall retain the OPR of his/her original place of assignment. Exceptions to this provision shall be subject to the approval of Supervising Undersecretary of said official.

5. Officials and employees belonging to EXCOM Offices. EXCOM Offices, including LOLA, shall be clustered and given one Organizational Performance Rating (OPR). Each office may adopt a single- or multi-level internal ranking of its personnel as appropriate to the group’s size. In the final determination of **individual** performance categories, each EXCOM unit (including LOLA) shall be given its own Sub-OPR which shall determine the final ranking of officials and employees based on the Final IPR (FIPR) computed as follows:

FINAL INDIVIDUAL PERFORMANCE RATING (FIPR)	=	IPR 75%	+	Sub-OPR 25%
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6. Disqualification to the grant of PBB. Personnel found guilty of administrative and/or criminal cases filed against them and meted penalty in FY 2014 shall not be entitled to the 2014 PBB. If the penalty meted out is only a reprimand, such penalty shall not cause the disqualification to the PBB.