



October 29, 2019



MEMORANDUM

**SUBJECT: ADMINISTRATION OF THE ONLINE CAREER EXECUTIVE SERVICE PERFORMANCE
EVALUATION SYSTEM (CESPES) FOR CY 2019**

**TO: All Schools Division Superintendents
Assistant Schools Division Superintendents
This Region**

1. The Career Executive Service Board (CESB), through Resolution No. 1445, dated January 25, 2019 has adopted the guidelines on "Strengthening Performance Accountability through the Enhanced Career Executive Service Performance Evaluation System" for officials in the Career Executive Service (CES).
2. To facilitate the completion of CESPES, all Schools Division Superintendent and Assistant Schools Division Superintendent is directed to accomplish the following forms:
 - a. **Ratee Information Sheet** – must be submitted to caraga.personnel@deped.gov.ph on or before **November 4, 2019**.
 - b. **Performance Commitment and Review Form** – timeline for encoding in the CESB portal is **November 6, 2019 – December 31, 2019**.
 - c. **Behavioral Competency Scale for 1st sem and 2nd sem CY 2019** – period for accomplishment of rating is **January 3-17, 2020**.
3. Failure to complete the CESPES rating process within the above schedule shall cause the Ratee-Official to have no CESPES rating for CY 2019 rating period.
4. For strict compliance.


FRANCIS CESAR B. BRINGAS, CESO V
Director III
OIC, Office of the Regional Director

PS/srp
10/29/2019



DCC No.: DepEdRO13-F-REC-013/R2/9-4-2019



ISO 9001:2015 CERTIFIED
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Republic of the Philippines
CAREER EXECUTIVE SERVICE BOARD
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CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM

RATEE INFORMATION SHEET

CESPES FORM NO. 001

Performance Rating Period _____

NAME OF RATEE: _____	
POSITION TITLE/DESCRIPTION: (Item 1 of DBM-CSC Form No. 1) Regional Director	
Agency/Department: (Item 7 of DBM-CSC Form No. 1)	Work Station: (Item 8 of DBM-CSC Form No. 1)

REPORTING RELATIONSHIP		
REPORTING TO (Superior Rates):		
NAME	POSITION	E-MAIL ADDRESS
1.		
DIRECT REPORTS (Subordinate Raters)		
NAME (Use additional sheets, if necessary)	POSITION	E-MAIL ADDRESS
1.		
2.		
3.		
4.		
5.		
PEERS (Use additional sheets, if necessary)		
NAME	POSITION	E-MAIL ADDRESS
1.		
2.		
3.		
4.		
5.		
FUNCTIONS OF THE POSITION (Item 20 of DBM-CSC Form No. 1, 2017)		
FUNCTIONS OF THE ORGANIZATIONAL UNIT (Item 19 of DBM-CSC Form No. 1, 2017)		
DELIVERY UNIT		

PREPARED BY: _____

VERIFIED FOR ONLINE ENCODING BY: _____

NAME OVER SIGNATURE OF RATEE-OFFICIAL
DATE: _____

NAME OVER SIGNATURE OF CESPES COORDINATOR
DATE: _____



Circular No. 2
Series of 2019

FOR : ALL HEADS OF DEPARTMENTS AND AGENCIES OF THE
NATIONAL GOVERNMENT AND ALL OFFICIALS IN THE
CAREER EXECUTIVE SERVICE (CES)

SUBJECT : ADMINISTERING THE ONLINE CAREER EXECUTIVE SERVICE
PERFORMANCE EVALUATION SYSTEM (CESPES) FOR CY 2019
USING THE GUIDELINES PRESCRIBED UNDER CESB
RESOLUTION NO. 1445

Rationale:

The Career Executive Service Board (CESB), through Resolution No. 1445 dated 25 January 2019 has adopted the guidelines on "Strengthening Performance Accountability through the Enhanced Career Executive Service Performance Evaluation System" for officials in the Career Executive Service (CES).

Pursuant to Career Executive Service Board (CESB) Circular No. 1 s. 2019 (Administering the Online CESPES for CY 2018 Using The Guidelines Prescribed Under CESB Resolution No. 1136), the revised CESPES Guidelines and Tools shall be used beginning Performance Year 2019. All concerned CES Officials and Human Resource Management and Development (HRMD) Directors/Officers are hereby advised to complete the CESPES for purposes of obtaining the 1st sem and 2nd sem of CY 2019 CESPES ratings.

It should be noted that CESPES ratings and participation in other performance-related CESB programs are requirements for original or promotional appointment to CES ranks, as well as determining eligibility for entitlement to the annual performance-based bonus.

Section 1: Scope and Coverage

The provisions of this Circular shall apply to (a) officials who are appointed to CES positions, whether Career Executive Service Officers (CESOs), Career Executive Service Eligibles (CESEs), Career Service Executive Eligibles (CSEEs) or non-CES eligibles; and (b) those designated in acting or officer-in-charge capacity of a CES position.

Section 2: Rating Period

The rating period shall cover two semesters of CY 2019 consisting of six (6) months each that run from January to June and July to December.

Young Natividad, CESB Secretary

In case a Ratee-Official transfers to another agency in between rating periods, the Ratee-Official may be rated in his/her previous position, provided s/he has completed more than one quarter in the previous position.

A Ratee-Official appointed to a position in another agency must complete at least six (6) months in the new position, and may thus be rated at the end of the succeeding semester.

Section 3: Completion of CESPES Forms and Tools

To facilitate the completion of CESPES, the following forms should be accomplished:

- Ratee Information Sheet (RIS) – October to November 2019
- Performance Commitment and Review Form (PCRF) – November to December 2019
- Behavioral Competency Scale (BCS) for 1st sem and 2nd sem of 2019 – January to February 29, 2020

Section 4: Period for Completion of Online CESPES

The period for the accomplishment of ratings for the two semesters of CY 2019 Online CESPES shall commence on 03 January 2020 and must be completed on or before 29 February 2020. The following is the detailed schedule:

Schedule of Completion of 2019 Online CESPES

DATE OF ADMINISTRATION	AGENCY	ATTACHED BUREAUS
2020 JANUARY 3 - 17	DAR	
JANUARY 3 - 17	DA	ATI, BAR, BAFS, BAI, BFAR, BPI, BSWM, NDA, NMIS, NTA, PCAF, PHILFIDA, PHILMEC
JANUARY 3 - 17	DBM	GPPB-PSO
JANUARY 3 - 17	DEPED	NBDB
JANUARY 3 - 17	DOE	
JANUARY 18 - 31	DENR	All DENR Attached Bureaus, NAMRIA, NWRB
JANUARY 18 - 31	DOF	BOC, BIR, BLGF, BTr, IC, NTRC PMO, SEC
JANUARY 18 - 31	DOH	FDA, NNC, PCMC, RITM
JANUARY 18 - 31	DILG	LGA, NAPOLCOM

JANUARY 18 - 31	DOJ	BPP, LRA, NBI, PPA-DOJ
FEBRUARY 1 - 15	DOLE	ECC, ILS, NCMB, NWPC, OSHC, OWWA, POEA
FEBRUARY 1 - 15	DND	GA, OCD, PVAO, VMMC
FEBRUARY 1 - 15	DPWH	
FEBRUARY 1 - 15	DOST	ASTI, FNRI, FPRDI, ITDI, MIRD, PAGASA, PCAARD, PCAMRD, PCHRD, PCIEERD, PHILVOCS, PNRI, PTRI, STII, CEI, TAPI
FEBRUARY 1 - 15	DSWD	CWC
FEBRUARY 1 - 15	DTI	BOI, CITEM, CITC, CIAP, DCP, IPO, PTTC
FEBRUARY 16 - 29	DOT	IA, NPDC
FEBRUARY 16 - 29	DOTr	CAB, LTFRB, LTO, LRDA, OTS, TRB
FEBRUARY 16 - 29	DICT	NTC
FEBRUARY 16 - 29	NEDA	PSA, PNVSCA, PPPC
FEBRUARY 16 - 29	OP	CESB, CHED, DDB, GCG, MDA, NCCA, NHCP, NIA, NLP, NSC, PCW, PDEA, PMS
FEBRUARY 16 - 29	Office of CabSec & PCOO	NAPC, NCIP, NCMF, TESDA BBS, BCS, NPO

Failure to complete the CESPES rating process within the period shall cause the Ratee-Official to have no CESPES rating for the said rating period.

Section 5: CESPES Overall Performance Feedback Report

All accomplished CESPES forms and tools of all CES Officials/Ratees in the department/agency shall be completed for the computation of the performance ratings not later than **29 February 2020**.

The CESB shall provide the Department Secretary/Head of the Agency with a summary of the performance ratings of the Ratee-Officials in the department/agency, copy furnished the Highest Human Resource Officer of the Agency.

The original copy of the CESPES Feedback Report shall be sent to the Ratee-Official.

Section 6: Reopening of Online CESPES for Amendments of Ratings

Upon receipt of the CESPES Feedback Report by the official/ratee, the concerned official/ratee may request the CESB to reopen the Online CESPES system based on meritorious grounds. The CESB may, upon careful evaluation of the request and finding

merit on the grounds cited, reopen the online CESPES system and inform the concerned raters of the schedule within which to complete amendments on the CESPES rating.

Amendments after the given schedule shall no longer be received nor entertained by the CESB and shall cause the official/ratee to have the latest CESPES rating on record with the CESB for the Rating Period.

Section 7: Grievance Mechanism

In case of non-concurrence by the official/ratee to the generated ratings, the official/ratee has fifteen (15) days within which to appeal with the agency's Performance Management Team (PMT) for the purpose of reviewing and amending the CESPES rating, copy furnished the CESB.

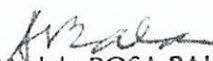
The PMT must inform the CESB of the agreements reached following the review of the CESPES rating within seven (7) days from the termination of the grievance process.

Section 8: Step Increment due to Meritorious Performance

In accordance with the Civil Service Commission and Department of Budget and Management Joint Circular No. 1, series of 2012, the maximum number of employees that may be granted Step Increment/s due to Meritorious Performance in any given year shall be limited to five percent (5%) of all incumbent officials and employees in an agency.

1. **Two (2) Step Increments due to Meritorious Performance** may be granted to an incumbent of a CES position who has attained two (2) ratings of "Outstanding" during the two (2) rating periods within a calendar year in the CESPES.
2. **One (1) Step Increment due to Meritorious Performance** may be granted to an incumbent of a CES position who has attained one (1) rating of "Outstanding" and one (1) rating of "Very Satisfactory", or two (2) ratings of "Very Satisfactory" during the two (2) rating periods within a calendar year in the CESPES.

For compliance.


ALICIA dela ROSA-BALA, CESO I
Chairperson
Civil Service Commission
and Career Executive Service Board

Attested by:


MARIA ANTHONETTE VELASCO-ALLONES, CESO I
Executive Director

11 September 2019



**REVISED GUIDELINES ON STRENGTHENING
PERFORMANCE ACCOUNTABILITY THROUGH
THE ENHANCED CAREER EXECUTIVE SERVICE
PERFORMANCE EVALUATION SYSTEM
(CESPES)**

x-----x

Resolution No. 1445

WHEREAS, Presidential Decree No. 1 dated 24 September 1972, created the Career Executive Service Board (CESB) to serve as the governing body of the Career Executive Service (CES) and to promulgate rules, standards and procedures on the selection, classification, compensation and career development of members of the CES;

WHEREAS, based on the aforementioned law, the CESB, pursuant to Resolution No. 90-06, adopted a Career Executive Service Performance Evaluation System (CESPES) for all Officials in the CES;

WHEREAS, pursuant to Resolution No. 661 s. 2007, the CESB adopted a new set of guidelines as well as a new set of instruments to make the CESPES more responsive, systematic and practicable, with the purpose of contributing to the fulfilment of the Board's mandate to form a continuing pool of well-selected and development-oriented career administrators who shall provide competent and faithful service in the CES;

WHEREAS, in 2009, the Congress of the Philippines issued Joint Circular No. 4, mandating, among others, the Civil Service Commission (CSC) to develop a Performance Management System that will ensure that personnel performance shall be linked with organization performance in order to enhance the performance orientation of the compensation system;

WHEREAS, on 21 December 2011, the Office of the President issued Administrative Order (AO) No. 25, "Creating an Inter-Agency Task Force (IATF) on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems", which, among others, prescribes that the harmonized Results-Based Performance Management System (RBPMS) shall be the basis for entitlement to performance-based allowances, incentives or compensation of government personnel and directs the IATF to involve the CSC and the CESB in order to align the Strategic Performance Management System and the CESPES to the RBPMS;

Isang Karangalan Ang Maglingkod Sa Bayan

WHEREAS, on 13 June 2012, the Department of Budget and Management issued through Circular No. 2012-9 the Organizational Performance Indicators Framework (OPIF) Reference Guide, a learning resource tool on the use of OPIF as an accountability mechanism that defines the outputs and outcomes the Department Heads and agency managers are supposed to achieve and report to the President as mandated by Executive Order No. 292 and provides framework for performance management through a cascading process that assigns responsibilities and targets for service delivery throughout the whole organization down to the lowest units and individual employees;

WHEREAS, the CSC issued CSC Memorandum Circular No. 6, series of 2012 and Memorandum Circular No. 8 series of 2013 directing agencies to establish and implement an Agency Strategic Performance Management System (SPMS) that is focused on linking individual performance vis-a-vis the agency's organizational vision, mission and strategic goals and the creation of a Performance Management Team that will serve as the counterpart of the IATF in the development of the agency's internal guidelines in the implementation of performance-based incentive system and in the review of the performance indicators, targets and accomplishments from the department down to the individual level.

WHEREAS, CESB issued CESB Resolution No. 1136 s. 2014 or the "Guidelines on the Enhanced CESPES", prescribing the use of a new set of systems and tools that is aligned with the SPMS of the CSC and ensuring its smooth implementation. It also aims to modify the behavioural competence dimensions to align them with the CES Core Competency Framework, simplify the rating forms and procedures and define a new rating scale from seven to five points;

WHEREAS, the CESB recognized the need to further refine the CESPES framework guidelines and tools to align the same with the Results-Based Performance Management System (RBPMS) and the Program Expenditure Classification (PREXC) as prescribed by Section 4 of Administrative Order No 25 and to other related laws and regulations;

WHEREFORE, foregoing premises considered, the Board **RESOLVES**, as it is hereby **RESOLVED**, to adopt the Revised Guidelines on Strengthening Performance Accountability through the Enhanced Career Executive Service Performance Evaluation System (CESPES).

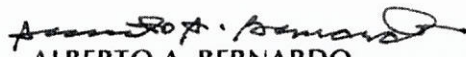
APPROVED on 25 January 2019 in Quezon City, Philippines.


ALICIA dela ROSA-BALA
Chairperson

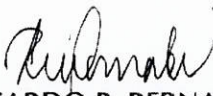
Resolution **1445** REVISED GUIDELINES ON STRENGTHENING
PERFORMANCE ACCOUNTABILITY THROUGH THE ENHANCED
CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM
(CESPES)


ENGELBERT C. CARONAN, JR.
Member


ROLANDO L. METIN
Member


ALBERTO A. BERNARDO
Member


ERWIN M. ENAD
Member


RICARDO P. BERNABE III
Member

Attested by:


CARMELA M. CONTI
Board Secretary III

Resolution No. 445 REVISED GUIDELINES ON STRENGTHENING
PERFORMANCE ACCOUNTABILITY THROUGH THE ENHANCED
CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM
(CESPES)

**REVISED GUIDELINES ON STRENGTHENING
PERFORMANCE ACCOUNTABILITY THROUGH THE ENHANCED
CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM (CESPES)**

- 1. Title and Purpose.** These guidelines are promulgated pursuant to **CESB Resolution No. 1445** also known and cited as the "Revised Guidelines on Strengthening Performance Accountability Through the Career Executive Service Performance Evaluation System" to prescribe the specific policies, rules and standards for the conduct of periodic performance evaluation of all incumbents of CES positions.
- 2. Objectives.** The CESPES seeks to establish a relevant framework and a set of guidelines and tools to:
 - (a) Strengthen performance accountability in the CES;
 - (b) Evaluate an official's accomplishment of specific performance targets as defined in the Performance Commitment and Review Form (PCRF);
 - (c) Evaluate the official's executive/management behavioural competence as contained in the Behavioral Competency Scale; and
 - (d) Utilize the CESPES ratings, as applicable, in determining security of tenure in the CES, eligibility to performance-based incentives, recognition and other personnel actions.
- 3. Coverage.** The CESPES covers: (a) officials who are appointed to CES positions, whether Career Executive Service Officers (CESOs), Career Executive Service Eligibles (CESEs), Career Service Executive Eligibles (CSEEs) or non-CES eligibles; and (b) those designated in acting or officer-in-charge capacity of a CES position;
- 4. Rating Period.** The rating period shall cover two semesters consisting of six (6) months each that run from January to June and July to December.
- 5. Frequency and Period of Evaluation.** Performance review and evaluation shall be conducted within the quarter following the rating period. All departments/agencies covered by the CESPES shall adhere to the schedule for accessing the online CESPES as prescribed by the Board.
- 6. Components.** The CESPES shall have the following components:
 - 6.1. Accomplishments.** This refers to the superior's assessment of the ratee's performance based on the ratee's outputs/outcomes that contributed to the program results of the delivery unit/s he/she is accountable for using the PCRF and expressed in terms of process output/outcome indicators.

The PCRF takes into account organizational planning, monitoring and reporting elements, such as:

(a) **Organizational Outcome** is a short to medium-term result produced by an agency that contributes to the achievement of its legislated mandate and is achieved through the delivery of its programs.

(b) **Outcome** is any change, effect, or result brought about by an agency's programs or strategies upon individuals, social structures, or the physical environment.

(c) **Output** is any good or service that an agency delivers to a target population or client group external to the agency.

(d) **Performance Indicator** is a characteristic or evidence that measures and illustrates the standard of performance by which an agency delivers its programs or outputs. Performance Indicators measure the quantity, quality or timeliness of outputs and outcomes of an agency or a program and provide evidence that describes results such as economy, efficiency, and effectiveness. Output indicators are mostly within control of an agency and are strongly linked to the budget. An outcome indicator measures how well a program has achieved its stated objective.

(e) **Program** is a group of activities and projects that contribute to a common particular outcome. A program should have the following: (1) unique expected results or outcome; (2) a clear target population or client group external to the agency; (3) a defined method of intervention to achieve the desired result, and (4) a clear management structure that defines accountabilities.

(f) **Project** is a special undertaking carried out within a definite time frame and intended to result in some pre-determined measure of goods and services.

(g) **Activity** is a recurring work process that contributes to the implementation of a program or sub-program.

(h) **Program/ Activity /Project (PAP)** is any work process or group of work processes undertaken to realize the outputs and outcomes of an agency. This is represented by an item of appropriation in the national budget.

(i) **Delivery Unit** is the primary subdivision of a department/agency performing substantive line functions, technical services, or administrative support, as indicated in the agency's organizational structure and/or functional chart.

(j) **General Administration and Support (GAS)** is a cost component of the agency budget which consists of the activities and projects dealing with the provision of overall administrative management and operational support to the entire organization.

(k) **Support to Operations (STO)** is a cost component of an agency budget which consists of activities and projects which provide staff, technical, and /or

substantial support to operations, but do not produce goods or deliver services directed at a target population or client group external to the agency. This also includes expenditures that are indivisible across programs.

(l) Operations is the cost structure which consists of programs and corresponding expenditures that relate to the main purpose for which an agency has been created. It involves direct production of goods or delivery of services or direct engagement in regulations.

(m) Goal Alignment is the process of establishing the link of the Ratee-Official's output to the achievement of the organizational output or outcome.

(n) Innovating and Intervening Accomplishments are outputs achieved beyond the Ratee-Official's mandated functions and responsibilities.

(o) BAR No. 1 refers to the Quarterly Physical Report of Operation which reflects the agency's/delivery unit's actual physical accomplishments as of a given quarter in terms of the performance measures indicated in its Physical Plan.

6.2. Executive/Management Competence. This refers to an assessment of the ratee-official's executive leadership and management competence at work. The assessment is determined from scores obtained from different sets of behavioural rating scales accomplished by the ratee-official's superiors, peers and subordinates.

The ratee-official's executive/management competence is assessed based on the established six (6) core competencies as the fundamental standards for executive performance in various ranks in the CES. The six (6) core competencies include:

(a) Strategic and Critical Thinking.- The ability to obtain information and identify key issues and relationships relevant to achieving a long-range goal or vision; to commit to a course of action to accomplish a long-range goal or vision after developing alternatives based on logical assumptions, facts, available resources, constraints, and organizational values.

(b) Leading in a Continuously Changing Environment - The ability to encourage others to seek opportunities for different and innovative approaches in addressing problems and opportunities, and to facilitate the implementation and acceptance of change within the organization.

(c) Empowering/Developing Others to Establish Collective Accountability for Results - The ability to develop and promote effective relationships with colleagues and team members and to deal constructively with conflicts. The ability to develop subordinates' skills and competencies by planning effective development activities related to current and future jobs.

(d) Linkaging and Networking for Productive Partnerships - The ability to develop and strengthen partnerships that can provide information, assistance and

support to the organization; to identify and use synergies across the organization with external partners.

(e) Planning/Organizing for Greater Impact - The ability to establish a course of action for self and/or others to accomplish a specific goal; to plan proper assignments of personnel and appropriate allocation of time and other resources.

(f) Driving Performance for Integrity and Service - The ability to produce and deliver quality results, to be action-oriented and committed to the achievement of outcomes.

7. Types of Rater. A Ratee-Official shall be rated by three (3) types of raters, namely:

7.1. Superior Rater - one to whom the ratee directly reports as his/her immediate superior during the rating period.

7.2. Subordinate Rater - one whom the ratee directly supervises as his/her immediate subordinate during the rating period.

An immediate subordinate who functions as a utility worker or driver shall not be considered as a subordinate rater for purposes of these Guidelines. Job order contractual employees are also disqualified as subordinate raters considering the absence of employer-employee relationship.

7.3. Peer Rater – a colleague of the ratee in the agency who holds a position of equivalent level with the ratee based on the agency's organizational structure.

8. CESPES Forms. The CESPES shall be composed of the following instruments:

8.1. Ratee Information Sheet (RIS) (CESPES Form No. 001). The RIS provides basic information about the ratee-official, including:

- (a) the complete, updated and official list of all raters (i.e., superiors, peer and subordinates) who are qualified and designated to rate each individual Ratee-Official's work performance in a given rating period;
- (b) the position title and actual location of the position;
- (c) the rating period;
- (d) the Delivery Unit (Bureau/Service/Office); and
- (e) the responsibilities of the positions, and the organizational unit where the position belongs.

The e-RIS shall be prepared by the CESPES Coordinator within two months prior to the scheduled date for rating.

8.2. Rating Form for Subordinate/Peer Rater (CESPES Form No. 002). This form contains the rating scale reflecting effective management/executive behaviours

clustered according to the six (6) CES Core Competencies and is being used to assess the Ratee-Official's management/executive behaviour.

8.3. Rating Form for Superior Rater. Divided into three (3) parts, this form aims to measure performance and identify individual development needs of the Ratee-Official.

(a) **Performance Commitment and Review Form (CESPES Form No. 003-A)** – The PCRf is a management and performance appraisal tool that provides a common understanding and agreement about priorities, responsibilities and performance expectations between a Ratee-Official and his/her superior rater.

(b) **Behavioral Competency Scale (BCS) (CESPES Form No. 003-B)** - The BCS assesses the rate-official's management/executive behavioral competence in the six (6) CES Core Competencies.

(c) **Individual Professional Needs (IPN) (CESPES Form No. 003-C)** - The IPN identifies the professional development needs of the ratee-official .

9. CESPES Performance Evaluation Cycle and Stages. The CESPES Performance Evaluation Cycle shall be composed of the following stages:

- (a) Performance Planning Stage;
- (b) Performance Monitoring Stage;
- (c) Performance Review and Feedback Stage; and
- (d) Performance Evaluation and Development Planning Stage.

9.1. Performance Planning Stage. The Performance Planning Stage shall be conducted in accordance with the agency's Strategic Performance Management System (SPMS) Calendar. The Ratee-Official and Superior Rater shall meet to determine the former's performance commitment for the year based on the goals/objectives of the organization/delivery unit and the responsibilities of his/her position.

Ratee-officials must be able to define his/her outputs based on the functions of his/her position. The Ratee-Official and Superior Rater must consider the following reference documents in formulating the annual performance plan:

- (a) Organization/Unit and Position Information
- (b) Position Description Form (as encoded in the e-RIS).
- (c) Agency Planning, Process Improvement and Performance Management Documents
- (d) Physical Plan (DBM BED Form No. 2);
- (e) Documented procedure on the services provided by the delivery unit as mentioned in the Agency's Citizen's Charter or Quality Management System Documents; and

(f) Performance Indicators and Targets and Office Performance Commitment and Review Form under the Strategic Performance Management System (SPMS).

These reference documents are significant in:

- a) Contextualizing the performance objective of the ratee-official along the organizational outcome that the agency commits to deliver according to its mandate and functions;
- b) Situating the Ratee-Official's performance objective according to the mandate of his/her unit and position; and
- c) Defining the work processes, their interrelationships and outputs.

These information will enable the Ratee-Official to define his/her contributions to the final output. **Annex A** of these Guidelines provides an illustrative example on how these documents may assist a Ratee-Official in formulating his/her performance commitment.

All performance commitments shall be recorded in CESPES Form No. 003-A (Performance Commitment and Review Form). The Ratee-Official and Superior Rater must keep a copy of the PCRF. The final PCRF shall be encoded online as scheduled by the Board.

In preparing the PCRF using CESPES Form No. 003-A, the Ratee-Official must complete the following:

In Part I. ALIGNMENT OF RATEE'S OUTPUT WITH AGENCY/ORGANIZATION OUTCOME:

- Identify Organizational Outcome. This will appear as a dropdown list in the Online Performance Contract and Review Form Module of the Online CESPES.
- Check all the cost components applicable to you: (1) Operations, (2) STO and/or (3) GAS in the agency PREXC Budget Structure.
- For Ratee-Officials performing functions classified under operations, the online CESPES-PCRF Module provides a dropdown list of Program and Outcome/Output Performance Indicators under the Program/subprogram specified in the General Appropriations Act. Choose the programs and indicators applicable to your delivery unit. Indicate your performance target/s for each program performance indicator.
- For Ratee-Officials performing functions classified under GAS and STO cost components like legal services, human resource management services, planning and policy services, program monitoring and evaluation services,

public information services, research and development and statistical services, information systems development, among others, they must specify the programs/activities/projects they are responsible for and identify appropriate performance indicator/s and target/s. The performance indicator must be expressed as measures of quality, quantity, timeliness and efficiency. The predefined SPMS Success Indicators and OPCR may be used as basis for this purpose whenever applicable.

In Part II: INDIVIDUAL PERFORMANCE COMMITMENT

A Program Outcome may contain several final process outputs involving several activities or intermediate/internal process outputs. Ratee-Officials must identify the program output they contribute to, the processes necessary to deliver the required program outcome/output and the appropriate performance indicators and targets for the identified process outputs. Ratee-Officials may refer to the Agency Quality Management System document of ISO 9001:2015 Standard, Citizen's Charter or other reference documents for this purpose.

As illustrated in Annex A of this Guidelines, the PREXC Structure of the DPWH provides that one of its Organizational Outcomes is to Ensure Safe and Reliable National Road Systems and one of the program outcomes under it is Reduction of Travel Time. The final process outputs may include project identification, project preparation, project implementation, project operation and project evaluation. Under the STO of the DPWH, the project output may be the Manuals for Construction, Rehabilitation and Improvement of Infrastructure Facilities, and Administration of Personnel Benefits under the GAS. The completion of the GAS and STO programs/projects requires several process outputs composed of a number of internal/intermediate outputs.

The Ratee-Official and the Superior Rater must calibrate the annual performance plan to determine the deliverables at the end of the first semester.

9.2. Performance Monitoring Stage. The Ratee-Official and Superior Rater shall meet during the rating period to regularly monitor/track the Ratee-Official's performance; identify problems, issues and concerns affecting said performance; and enable the Superior Rater to analyze and provide advice and other forms of assistance to improve performance through coaching, mentoring and feedback.

Every time and at any given time within the rating period, when at least one (1) performance commitment has to be changed, deleted or added, the revisions/modifications shall be discussed and agreed upon by the Ratee-Official and the Superior Rater. Any revisions/modifications in the performance commitment must be reflected in the PCRF.

9.3. Performance Review and Feedback

9.3.1. Completion of the PCRF and Superior Rating. The PCRF shall be accomplished as follows:

(a) The Ratee-Official and Superior Rater shall meet within the month following the rating period to conduct performance review and feedback.

Whenever applicable, the Ratee-Official and Superior Rater shall consider the following references in their performance review discussion:

- Department Performance Accomplishments (Form A);
- Details of Bureau/Office Performance Indicators and Accomplishments (Form A-1);
- Quarterly Physical Report of Operations (BAR No. 1);
- Certificate of Compliance with RA 11032 Requirements;
- Financial Reports/Annual Audit Reports;
- Internal and External Audit ISO Reports; and
- Results of Client Satisfaction Survey.

(b) The Ratee-Official and the Superior Rater shall discuss the accomplishments for every performance commitment made by the Ratee-Official as provided for in Part I of CESPES Form No. 003-A. In cases where the performance commitments require more than a year to complete, the Ratee-Official should indicate the milestone/s for the semester/year under review. They shall also agree on the corresponding equivalent rating for each accomplishment as provided for in Part II of CESPES Form No. 003-A.

(c) When a Ratee-Official has innovating and intervening accomplishments within the rating period, the same shall be reflected in Part III of CESPES Form No. 003-A.

(d) The final rating on Accomplishment shall be indicated in Part IV of CESPES Form No. 003-A.

(e) The Ratee-Official and the Superior Rater shall agree on the final rating and certify that the same are true and correct in Part V of the CESPES Form No. 003-A.

(f) The Ratee-Official shall encode the performance commitments and accomplishments online as scheduled by the Board. He/She should likewise keep a copy of the PCRF that has been approved online by the Superior-Rater.

(g) The performance evaluation stage is completed when the Superior Rater accomplishes the CESPES online and clicks the "Submit" button in the menu.

9.3.2. Completion of the Subordinate/Peer Rating Forms. The online CESPES system shall observe the following schedules:

Rating Period	Schedule of Rating
1st Semester Rating Period	July 1 to August 31
2nd Semester Rating Period	January 1 to end of February of the following year

Failure to complete the CESPES rating process within the period shall cause the Ratee-Official to have no CESPES rating for the said rating period.

9.4. Performance Evaluation. The CESPES Ratings shall be based on the following standards of computation of scores:

9.4.1. Weight Allocations. The weight distribution of the two (2) components of CESPES shall be as follows:

Performance	-	80%
Individual Performance Commitment	80%	
Innovating and Intervening Accomplishment	20%	
Executive/Management Competence	-	20%
Superior rating	50%	
Peer rating	25%	
Subordinate rating	25%	
Overall CESPES Rating		100%

9.4.2. Adjectival Rating Scale. The CESPES ratings follow a five-point scale with their corresponding equivalent adjectival rating, to wit:

Outstanding	-	4.51 – 5.00
Very Satisfactory	-	3.51 – 4.50
Satisfactory	-	2.51 – 3.50
Unsatisfactory	-	1.51 – 2.50
Poor	-	1.00 – 1.50

The CESB shall generate a CESPES Overall Performance Feedback Report, providing a summary of the Ratee-Official’s performance ratings. The Report contains the following:

(a) *Summary of Ratings* – indicates the scores for the accomplishments, executive/management competence, and the overall CESPES rating, which is the

sum of the scores of the accomplishments and the executive/management competence.

(b) *Adjectival Rating* – refers to the qualitative description of the scores in accordance with the five-point scale.

10. Roles and Responsibilities

10.1. Agency. The Agency Head shall be responsible for ensuring that all organizational units and individuals are aware of their roles and responsibilities in contributing to the attainment of organizational targets, sectoral and societal outcomes. Through the Performance Management Team (PMT), the agency shall set up their respective performance monitoring and evaluation systems that are aligned with the RBPMS. They shall also establish an effective performance contracting system between supervisors and employees across all levels of the organization, including those covered by the CESPES.

10.2. CESB. The CESB shall primarily administer the CESPES in coordination with the CESPES Coordinator.

10.3. Incumbents of CES Positions. Each department and/or agency covered by the CES and all its CES officials shall strictly comply with the policies, rules, guidelines, standards, procedures and mechanisms on the CESPES.

10.4. The Performance Management Team (PMT). As prescribed in CSC Memorandum Circular No. 8, s. 2013, the Performance Management Team shall be responsible for the development of the agency's internal guidelines in the review of performance indicators, targets and accomplishments from the program outcome/indicators, down to unit, process and individual level.

In particular, they shall perform the following functions:

- (a) Facilitate the discussion of performance targets among all Heads of Offices/Bureaus/Departments;
- (b) Ensure alignment of performance targets, measures and budgets within the Office/Bureau/Department, and that work distribution is rationalized;
- (c) Act as appeals body and final arbiter on performance management issues of the agency; and
- (d) Adopt its own internal rules, procedures and strategies in carrying out its responsibilities, such as policy on delegation of authority to regional and field offices, timelines and procedures on resolving performance rating disputes, etc.

10.5. The CESPES Coordinator. The Human Resource Management and Development Director or the equivalent official responsible for the unit/service administering the CESPES in the department/agency shall be designated as the CESPES Coordinator by the Department Secretary/Head of the Agency concerned. The CESPES Coordinator shall lead all efforts in preparing and capacitating the entire

department/agency in the installation, implementation, monitoring and maintenance of the CESPES.

Specifically, the CESPES Coordinator shall have the following duties and responsibilities:

- (a) To ensure the submission by the Ratee Officials of their duly accomplished Ratee Information Sheet (RIS) and its attachments and encode the same in the Online CESPES.
- (b) To remind the Superior Raters of the ratee-official/s to undertake the performance management processes prescribed in Item 9.1 to 9.3 hereof;
- (c) To ensure that peer and subordinate raters are duly notified and are able to rate their respective peer or superior ratee/s within the timeframe prescribed in the guidelines;
- (d) To conduct orientation/briefings, in coordination with the CESB, on the CESPES and other CESB related activities, as may be deemed necessary;
- (e) To monitor CESPES compliance; and
- (f) To ensure confidentiality of the performance information that comes to its knowledge and possession in the performance of his/her role as CESPES Coordinator.

11. Miscellaneous Provisions

11.1. Multiple Superior Raters. In case there are more than one (1) superior raters, the average rating shall be computed to arrive at the final superior rating.

11.2. Concurrent/Consecutive Positions in a Rating Period. In case a Ratee-Official has consecutively/concurrently occupied more than one CES position in a given rating period, the CESPES Coordinator shall update/modify the RIS accordingly. The final Superior rating shall be computed based on the policy provided in Item 11.1.

11.3. Minimum Number of Peer and/or Subordinate Raters. To have a valid peer rating, Ratee officials must be rated by a minimum of three (3) Peers or at least half of the actual number of Peer-Officials directly collaborating with the Ratee-Official. In the case of subordinate raters, a minimum of five (5) Subordinate Raters or more than half of his/her actual number of Subordinate Raters, whichever is higher. Those who have less than five subordinates shall be rated by all (100%) of the Subordinate Raters.

11.4. Substitution of Superior, Subordinate and/or Peer Raters. In cases where there is a need to substitute Superior and/or Subordinate/Peer Raters, the following rules shall apply:

(a) Superior Raters

The Superior, who is higher in rank to the immediate superior of the Ratee, and who currently or may have exercised direct or indirect supervision and control over the ratee in the performance of tasks/ functions for a certain period of time may substitute as a Superior Rater in completing the CESPES.

(b) Subordinate /Peer Raters

In case the minimum number of Subordinate Rater is not met, qualified peer raters may be added as raters for the Executive/Management Competence. In cases where there are no peer raters, the subordinate rating shall constitute 50% of the BCS rating.

11.5. Computation of Incomplete Ratings of a Ratee-Official. The following rules shall apply in case of incomplete ratings of a Ratee-Official:

(a) The CESB may allow the computation and evaluation of the CESPES ratings of the Ratee-Officials only when the said ratings in question can no longer be obtained due to any or a combination of the following circumstances affecting the basis of the ratings:

- Death;
- Retirement;
- Resignation;
- Approved official leave availed of for a long term;
- No substitute raters are available from the ratee's RIS; and,
- All other reasons that will qualify that the ratings cannot be obtained or that the source of the rating is impossible to reach within the allowable and reasonable duration of time for the conduct of CESPES.

(b) In case of total absence of raters, the Ratee-Official shall make a written request to the CESB for an independent evaluation of his/her work performance and management competence for the given rating period. The Ratee-Official shall attach the samples of the actual accomplishments, related evidence, and other supporting data to describe and validate the performance targets actually accomplished.

11.6. Rating Period other than Semestral. In exceptional cases when an agency finds it necessary to adopt a rating period other than semestral, the agency must request the CES Governing Board in writing, specifying the proposed rating period and the reason for the exemption.

11.7. Effect of Transfer to Another Agency. In case a Ratee-Official transfers to another agency in between rating periods, the Ratee-Official may be rated in his/her previous position, provided s/he has completed more than one quarter in the previous position. A Ratee-Official appointed to a position in another agency must

complete at least six (6) months in the new position, and may thus be rated at the end of the succeeding semester.

11.8. CESPES as a Requirement to CES Rank Appointment. For purposes of fulfilling requirements for appointment to CES Rank, the performance rating requirement of one (1) year shall be construed as one annual rating or two (2) semestral ratings.

A ratee-official who has completed one semestral rating period in one agency and who transferred to another agency that adopted an annual rating period may be allowed to process his/her CESPES rating on a semestral basis.

12. Management of Complaints, Disputes, Anomalies and Irregularities on the CESPES. The department/agency, through the PMT, shall formulate and implement policies, guidelines, rules and regulations to facilitate and support the effective, systematic and proper administration and use of the CESPES.

12.1. Appeals. All requests, petitions, complaints, disputes, anomalies and irregularities in the implementation and use of the CESPES shall be referred to, managed, and resolved by the PMT duly constituted by the Department/agency for different levels in the Department/agency. Whenever possible, exhaustion of administrative remedies must be done in resolving disputes before they are elevated to the next level.

After the Department/agency PMT has decided on the matter, but the Ratee-Official still finds valid and reasonable basis to pursue the complaint to seek its satisfactory resolution, he/she may appeal the decision of the PMT to the CESB.

The appeal must be filed with the CESB within seven (7) calendar days from the receipt of the PMT's decision and must be in writing. It must also be accompanied by a Certification from the Department/Agency PMT that it has exerted efforts to resolve the complaint, with a narration of all actions undertaken to resolve it.

12.2. Annulment of the CESPES Rating. The CESB shall have the authority to annul or declare a failure of the CESPES performance rating process based on the following grounds:

(a) **Coercion.** Defined as a pre-meditated, purposive and targeted use of physical and/or moral force such as use of threat, intimidation, and/or similar acts of duress to compel individuals or groups (e.g., Superior and/or Subordinate Raters) to think and act according to the will of others (e.g., the Ratee);

(b) **Collusion.** Defined as a conspiracy or agreement by and between individuals and/or groups for an ill-intentioned or deceitful purpose(s), contrary to the purposes, objectives and uses of the CESPES (e.g. predetermined ratings);

(c) **Tampering.** Defined as the willful altering of the CESPES official forms with the objective of manipulating ratings and/or other given data;

(d) **Breach of Confidentiality.** Which shall include, but are not limited to, the following acts:

- i) Conferring of the Ratee with the Subordinate Raters on matters concerning Ratee's CESPES rating(s);
- ii) Looking or glancing at the rating forms accomplished by the Subordinate Raters with the intent to obtain information on the submission of the subordinate raters; and
- iii) Exercising undue influence over the Subordinate Raters, and

(e) Such other offenses, the commission of which are contrary to the attainment of the purposes and objectives of the CESPES.

Annulment or declaration of failure of the CESPES shall cause the Ratee-Official involved to have no CESPES rating for the rating period, without prejudice to the filing of appropriate administrative and/or criminal proceedings.

12.3. Authority of the CESB. The CESB shall have the power and authority to:

- (a) Review, deliberate and decide on cases referred to it by the department/agency involving requests, petitions, complaints, disputes, anomalies and/or irregularities with regard to the implementation and use of the CESPES;
- (b) Deputize the department/agency's CESPES Coordinator and/or a representative of the Performance Management Team (PMT), or any officer(s) from the concerned department/agency to gather, receive and secure evidence, in aid of its review and deliberations; and
- (c) File administrative charges against any person and/or group with proven accountability and/or involvement in any anomaly or irregularity.

12.4. Promulgation of CESB Decision and Recommendation. The CESB shall render its decision and recommendation on the said case within sixty (60) official working days after receipt of the complaint.

13. Custody of CESPES Records. The CESB shall provide the Department Secretary/Head of the Agency with a summary of the performance ratings of the Ratee-Officials in the department/agency, copy furnished the Highest Human Resource Officer of the Agency.

The original copy of the CESPES Feedback Report shall be sent to the Ratee-Official concerned.

14. Violations. Any violation of any provision in this Guidelines shall be dealt with in accordance with existing civil service laws, rules and regulations.

15. Separability Clause. If any section or part of this Guidelines shall be held invalid, the remaining provisions shall be given full force and effect as if the part held invalid has not been included therein.

16. Repealing Clause. All existing CES rules and regulations, circulars and memoranda inconsistent with this Guidelines are hereby repealed or amended accordingly.

17. Effectivity. This Guidelines shall take effect fifteen (15) days after publication in a newspaper of general circulation or in the Official Gazette.