Strategic Performance Management System

Metropolitan Waterworks and Sewerage System - Corporate Office

(MWSS CO - SPMS)

23 October 2013

Approved by CSC 18 July 2013
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I. LEGAL BASIS

A. Item 1-D of the Joint Resolution No. 4 (Governing Principles of the Modified Compensation and Position Classification System and Base Pay Schedule of the Government) of Congress of the Philippines, states that “a performance-based incentive scheme which integrates personnel and organizational performance shall be established to reward exemplary civil servants and well performing institutions.

B. Moreover, Item 4 of the Joint Resolution No. 4 provides that “Step increments – an employee may progress from step 1 to step 8 of the salary grade allocation of his/her position in recognition of meritorious performance based on performance management system approved by the CSC and/or through length of service, in accordance with the rules and regulations to be promulgated jointly by the DBM and the CSC.”

C. Item 17-C of Joint Resolution No. 4 likewise states that “the CSC, in developing the Performance Management System, shall ensure that personnel performance shall be linked with organizational performance in order to enhance the performance orientation of the compensation system.”

D. Pursuant to Section 5 of Administrative Order No. 241, “agencies shall institute a Performance Evaluation System (PES) based on objectively measured output and performance of personnel and units.

E. Administrative Order No. 25 dated December 21, 2011 was issued to further develop a collaborative mechanism to “establish a unified and integrated Results-Based Performance Management System (RBPMS) across all departments and agencies within the Executive Branch of Government incorporating a common set performance scorecard and creating an accurate, accessible and up-to-date government, sectoral and organizational performance information system.

F. The Civil Service Commission, through MC 6 s. 2012 provided the Guidelines in the Establishment and Implementation of the MWSS Strategic Performance Management System (SPMS)

II. CONCEPT

A. The SPMS concept is focused on linking individual performance with the MWSS’s organizational vision, mission and strategic goals.

B. This mechanism ensures that the employee achieves the objectives set by the organization and the organization on the other hand, achieves the objectives that it has set in its strategic plan.

III. OBJECTIVES

The SPMS shall be prepared and administered to:

A. Concretize the linkage of organizational performance with the Philippine Development Plan, the Strategic Plan, and the Organizational Performance Indicator framework;

B. Ensure organizational effectiveness and improvement of individual employee efficiency by cascading institutional accountabilities to the various levels of the organization anchored on the establishment of rational and factual basis for performance targets and measures; and
C. Link performance management with other HR systems and ensure adherance to the principle of performance-based tenure and incentive system
D. Implement an MWSS-wide forced ranking relative to an individual evaluation as follows:

<table>
<thead>
<tr>
<th>Adjectival Rating</th>
<th>MWSS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outstanding</td>
<td>Not more than 10%</td>
</tr>
<tr>
<td>Very Satisfactory</td>
<td></td>
</tr>
<tr>
<td>Satisfactory</td>
<td>90%</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td></td>
</tr>
<tr>
<td>Poor</td>
<td></td>
</tr>
</tbody>
</table>

The forced ranking distribution may be subject for review periodically.

IV. BASIC ELEMENTS

The SPMS shall include the following basic elements:

A. Goal Aligned to MWSS Mandate and Organizational Priorities. Performance goals and measurement are aligned to the national development plans, MWSS mandate, vision/mission and strategic priorities and/or organizational performance indicator framework. Standards are pre-determined to ensure efficient use and management of inputs and work processes. These standards are integrated into the success indicators as organizational objectives are cascaded down to operational level.

B. Outputs/Outcomes-based. The system puts premium on major final outputs (MFOs) that contribute to the realization of organizational mandate, mission/mission, strategic priorities, outputs and outcomes. See Annex B : Cascading of GOCC Performance Targets – FORM A.

C. Team-approach to performance management. Accountabilities and individual roles in the achievement of organizational goals are clearly defined to give way to collective goal setting and performance rating. Individual’s work plan or commitment and rating form is linked to the division/unit/office work plan or commitment and rating form to establish clear linkage between organizational performance and personnel performance.

D. User-friendly. The forms used for both the organizational and individual performance are similar and easy to accomplish. The organizational and individual MFOs and success indicators are aligned to facilitate cascading of organizational goals to the individual staff members and the harmonization of organizational and individual performance ratings.

E. Information System that supports Monitoring and Evaluation. Monitoring and Evaluation (M&E) mechanisms and Information System are vital component of the SPMS in order to facilitate linkage between organizational and employee performance. The M&E and Information System will ensure generation of timely, accurate, and reliable information for performance monitoring/tracking, accomplishment reporting, program improvement and policy decision-making.

F. Communication Plan. A program to orient MWSS officials and employees on the new and revised policies on SPMS shall be implemented. This is to promote awareness and interest on the system, generate employees’ appreciation for the MWSS SPMS as a management tool for performance planning, control and improvement, and guarantee employees internalization of their role as partners of management and co-employees in meeting organizational performance goals.

V. SCOPE AND COVERAGE

The SPMS applies to all employees occupying plantilla positions.
VI. RATING PERIOD

Performance evaluation is done every six (6) months ending on June 30 and December 31 of every year, where the period of evaluation is three months for minimum and one year for maximum.

VII. KEY PLAYERS AND RESPONSIBILITIES

A. SPMS CHAMPION (HEAD OF AGENCY) - MWSS ADMINISTRATOR

1. Primarily responsible and accountable for the establishment and implementation of the SPMS.
2. Sets MWSS’ performance goals/objectives and performance measures.
3. Determines MWSS’ target setting period.
5. Assesses performance of departments.

B. PERFORMANCE MANAGEMENT TEAM (PMT)

1. A PMT shall be established with the following composition:

   a. Executive official designated by the MWSS Administrator as Chairperson
   b. Highest Human Resource Management Manager or the career service employee directly responsible for human resource management
   c. Highest Human Resource Development Manager or the career service employee directly responsible for personnel training and development
   d. Highest Corporate Planning Department Manager or the career service employee directly responsible for organizational planning
   e. Highest Finance Manager or the career service employee directly responsible for financial management
   f. President of the accredited employee association in MWSS or the authorized alternate representative. In offices where there are no accredited or recognized employee associations/ unions, the rank and file representative shall be chosen through a general election or assembly

2. The PMT shall have the following functions and responsibilities:

   a. Sets consultation meeting of all Department Managers for the purpose of discussing the targets set in the office performance commitment and rating.
   b. Ensures that Office’s performance targets and measures, as well as the budget are aligned with those of MWSS and that work distribution of Offices/units is rationalized.
   c. Recommends approval of the office performance commitment and rating to the MWSS Administrator.
   d. Acts as appeals body for performance management issues of MWSS.
   e. Identifies potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives.

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1 The words Office and Department will be used interchangeably throughout this document.
f. Adopts its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberations, and delegation of authority to representatives in case of its members.

The Corporate Planning Department shall serve as the PMT Secretariat.

C. CORPORATE PLANNING DEPARTMENT OR OFFICE

1. Monitors submission of Office Performance Commitment and Review (OPCR) and Monitoring Report Form (Annex C: OPCR Blank Form, Annex C.1: OPCR Sample Form) and schedules the review / evaluation of Office Commitments by the PMT before the start of a performance period.
2. Consolidates, reviews, validates and evaluates the initial performance assessment of the Department Managers based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be the basis of PMT’s recommendation to the MWSS Administrator who shall determine the final Office rating.
3. Conducts an agency performance planning and review conference semi-annually for the purpose of discussing the department assessment for the preceding performance period and plans for the succeeding rating period with concerned Department Managers. This shall include participation of the Finance Manager as regards budget utilization.
4. Provides each department with the final Office Assessment to serve as basis of departments in the assessment of individual staff members.

D. HUMAN RESOURCE MANAGEMENT DEPARTMENT OR OFFICE

1. Monitors submission of Individual Performance Commitment and Review (IPCR) and Monitoring Form (Annex D: IPCR Blank Form, Annex D.1: IPCR Sample Form) by Department Managers.
2. Reviews the Summary List of Individual Performance Rating (Annex E) to ensure that the average performance rating of employees is equivalent to or not higher than the Office Performance rating as recommended by the PMT and approved by the MWSS Administrator.
3. Provides analytical data on retention, skill/competency gaps, and talent development plans that align with strategic plans.
4. Coordinates developmental interventions that will form part of the HR Plan.
5. Ensures the continuing reviews of the competencies needed by the organization.
6. Facilitates the process of arriving of competency definitions and behavioral indicators as necessary.
7. Provides management bi-annual reports (Summary list of Individual Ratings, Developmental Training for each Department, Analytical report on the conduct of the SPMS process).

E. DEPARTMENT MANAGER (HEAD OF OFFICE)

1. Assumes primary responsibility for performance management in his/her department
2. Conducts strategic planning session with the supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization and submits the OPCR Form to the Corporate Planning Department
3. Reviews and approves employee’s IPCR form for submission to the HR Department before the start of the performance period.
4. Does initial assessment of his office's performance using the approved Office Performance Commitment and Review (OPCR) and Monitoring Report Form (Annex C: OPCR Blank Form, Annex C.1: OPCR Sample Form) after getting feedback from his immediate manager. Documents discussion and feedback with his immediate manager the Department Performance Monitoring and Coaching Journal (Annex C2).

5. Submits at least quarterly the Office Performance Commitment and Review (OPCR) and Monitoring Report Form (Annex C: OPCR Blank Form, Annex C.1: OPCR Sample Form) to the Corporate Planning Department based on the SPMS Calendar (Annex A).

6. Determines final assessment of performance level of the individual employees in his/her office based on proof of performance
   a. Corporate Planning Department defines the process for validating performance.

7. Informs employees of the final rating and identifies necessary interventions to employees based on the assessment of developmental needs.

8. Recommends and discusses a Profession Development Plan (Annex F) with the subordinates who obtain Unsatisfactory performance during the rating period not later than one (1) month after the end of the said period and prepares written notice / advice to subordinates that a succeeding Unsatisfactory performance shall warrant their separation from the service.

9. Provides preliminary rating to subordinates showing Poor performance not earlier than the third (3rd) month of the rating period. A Professional Development Plan (Annex F) shall be discussed with the concerned subordinate and issue a written notice that failure to improve their performance shall warrant their separation from the service.

F. DIVISION CHIEF

1. Assumes joint responsibility with the Department Manager in ensuring attainment of performance objectives and targets

2. Rationalizes distribution of targets/tasks

3. Monitors closely the status of the performance of their subordinates and provides support and assistance through the conduct of coaching for the attainment of targets set by the Division / Unit and individual employee

4. Assesses individual employees' performance

5. Recommends developmental intervention

G. INDIVIDUAL EMPLOYEES

1. Acts as partners of management and their co-employees in meeting organizational performance goals.

2. Prepares an Individual Performance Commitment and Review (OPCR) and Monitoring Report Form (Annex D: OPCR Blank Form, Annex D.1: OPCR Sample Form) to be given to his immediate supervisor.

3. Documents at least quarterly mentoring and coaching discussions with his immediate supervisor using the Individual Performance Monitoring and Coaching Journal (Annex D.2).

4. Initiates gathering of the Competency Evaluation Form feedback from his immediate supervisor, subordinates, peers and customers then summarizes the results for review and validation with his manager.
VIII. THE FOUR-STAGE SPMS CYCLE

The following stages shall be observed in implementing the SPMS.

A. STAGE 1. PERFORMANCE PLANNING AND COMMITMENT

This is done at the start of the performance period where Department Managers meet with their supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization. During this stage, success indicators are determined. Such indicators are performance level yardsticks consisting of performance measures and performance targets.

Performance measures shall include any one, combination of, or all of the following general categories, whichever is applicable.

<table>
<thead>
<tr>
<th>Category</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effectiveness/Quality</td>
<td>The extent to which actual performance compares with targeted performance. The degree to which objectives are achieved and the extent to which targeted problems are solved. In management, effectiveness relates to getting the right things done.</td>
</tr>
<tr>
<td>Efficiency</td>
<td>The extent to which time or resources is used for the intended task or purpose. Measures whether targets are accomplished with a minimum amount or quantity of waste, expense or unnecessary effort.</td>
</tr>
<tr>
<td>Timeliness</td>
<td>Measures whether the deliverable was done on time based on the requirements of the law and/or clients/stakeholders. Time-related performance indicators evaluate such things as project completion deadlines, time management skills and other time sensitive expectations.</td>
</tr>
</tbody>
</table>

The MWSS Roadmap, MWSS Strategic Plan, Annual Investment Plan, etc., shall be the basis of the targets of Offices. Aside from the Office commitments explicitly identified under each Strategic Priority in the Roadmap, MFOs that contribute to the attainment of the organizational mission/vision which form part of the core functions of the department shall be indicated as performance targets.

The targets shall take into account any combination of, or all of the following:

- **Historical data.** The data shall consider past performance.
- **Benchmarking.** This involves indentifying and comparing the best agencies or institutions or units within the agency with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law.
- **Client demand.** This involves a bottom-up approach where the Office sets targets based on the needs of its clients. The department may consult with stakeholders and review the feedback on its services.
- **Top Management instruction.** The MWSS Administrator may set targets and give special assignments.
- **Future Trend.** Targets may be based from the results of the comparative analysis of the actual performance of the department with its potential performance.

In setting work targets, the Department shall likewise indicate the detailed budget requirements per expense account to help the Administrator in ensuring a strategy driven budget allocation and in measuring cost efficiency. The Department shall also identify specific division/unit/group/individuals
as primarily accountable for producing a particular target output per program/project/activity. These targets, performance measures, budget and responsibility centers are summarized in the OPCR (Annex C and Annex C.1)\(^2\). The OPCR must be approved by the Administrator on the 15\(^{th}\) of June and December preceding the start of a new semester.

The approved OPCR shall serve as basis for individual performance targets and measures to be prepared in the IPCR.

Unless the work output of a particular duty has been assigned pre-set standards by management, the standards shall be agreed upon by the supervisor and the ratee. Individual employees’ performance standards shall not be lower than the agency’s standards in its approved OPCR review. The IPCRs must be submitted to the HR Department in the 22\(^{nd}\) of June and December preceding the start of a new semester.

Performance measures need not be many. Only those that contribute to or support the outcomes that the agency aims to achieve shall be included in the office performance contract. The performance measures must be continuously refined and measured.

B. STAGE 2. PERFORMANCE MONITORING AND COACHING

The performance of the department and every individual shall be regularly monitored at various levels on a regular basis.

Monitoring and evaluation mechanisms should be in place to ensure that timely and appropriate steps can be taken to keep a program on track and to ensure that its objectives or goals are met in the most effective manner (Refer to Annexes C.2 and D.2 for departmental and individual mentoring and coaching forms.). Also a data management tool to produce timely, accurate and reliable information for program tracking and performance monitoring/reporting is needed.

Supervisors and coaches play a critical role at this stage. Their focus is on the critical function of managers and supervisors as coaches and mentors in order to provide an enabling environment/intervention to improve team performance; and manage and develop individual potentials.

- Each department will submit a quarterly accomplishment report which is also the Office Performance Commitment and Review (OPCR) and Monitoring Report Form (Annex C: OPCR Blank Form, Annex C.1: OPCR Sample Form) to be submitted on the 1\(^{st}\) Tuesday of the succeeding quarter to the Corporate Planning Department.
- Each individual will submit a quarterly accomplishment report which is also the Individual Performance Commitment and Review (IPCR) and Monitoring Report Form (Annex D: OPCR Blank Form, Annex D.1: OPCR Sample Form) to be submitted on 1\(^{st}\) Tuesday of the succeeding quarter to the Department Manager. The individual should provide a copy to the HR Department.
- Department and/or Performance Mentoring and Coaching Journals must be completed by each individual/ratee (Annex C.2 and D.2).

\(^2\) Annex C: OPCR Blank Form and Annex C.1: OPCR Sample Form
This phase aims to assess both department and individual employee’s performance level based on performance targets and measures as approved in the department and individual performance commitment contracts. The results of assessment of Office and individual performance shall be impartial owing to scientific and verifiable basis for target setting and evaluation.

- **Office Performance Assessment**

1. The Corporate Planning Department or any responsible unit in the agency shall consolidate, review, validate and evaluate the initial performance assessment of the Department Managers based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be submitted to the PMT for calibration and recommendation to the MWSS Administrator. The MWSS Administrator shall determine the final rating of offices using this and other methods he determines suitable.

2. An MWSS performance review conference shall be conducted semi-annually by the Corporate Planning Department for the purpose of discussing the Office assessment with concerned Department Managers. This shall include participation of the Finance Manager as regards budget utilization. To ensure complete and comprehensive performance review, all departments shall submit a quarterly accomplishment report to the Corporate Planning Department based on the SPMS calendar (Annex A).

3. Any issue/appeal/protest on the Office assessment shall be articulated by the concerned Department Manager and decided by the MWSS Administrator during this conference, hence the final rating shall no longer be appealable/contestable after the conference.

4. The Corporate Planning Department shall provide each Office with the final Office Assessment to serve as basis of departments in the assessment of individual staff members.

5. The assessment of the department is based on what was committed in the OPCR. The OPCR should reflect what contributions the employees in the department can contribute. Employees may sign his approval on the OPCR.

6. After the Corporate Planning Department sends the final Office Assessment, the Department Manager and his immediate manager discuss departmental direction and development plans.

   a. The Department Manager must bring the accomplished:

   i. Annex C.1: OPCR with final rating of the Administrator

   ii. Annex C.1: At least two Quarterly OPCR Report and Performance Monitoring Reports.

   iii. Annex C.2: At least two Individual Performance Mentoring and Coaching Journals. This is mandatory for employees who were rated Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.

   iv. Annex F: Professional Development Plan (fill up the Job Function and Accomplishments portion). This is mandatory for employees who were rated
Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.

v. Annex G: Summary of Competency Evaluation Form and supporting documents

b. The Department Manager and his immediate supervisor must complete the Annex F: Professional Development Plan (agree on the Strengths of Employee, Development Areas of Employee and Plans of Action). This is mandatory for employees who were rated Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.

• Performance Assessment for Individual Employees

1. The immediate supervisor shall assess individual employee performance based on the commitments made at the beginning of the rating period. The performance rating shall be based solely on records of accomplishment; hence, there is no need for self rating.

2. The SPMS puts premium on MFOs towards realization of organizational mission/vision. Hence, rating for planned and/or intervening tasks shall always be supported by reports, documents or any outputs as proofs of actual performance. In the absence of said bases or proofs, a particular task shall not be rated and shall be disregarded.

3. The supervisor shall indicate qualitative comments, observations and recommendations in the individual employee’s performance commitment and review form to include competency assessment and critical incidents which shall be used for human resource development purposes such as promotion and other interventions.

4. Employee’s assessment shall be discussed by the supervisor with the concerned ratee prior to the submission of the individual employee’s performance commitment and review form to the Department Manager.

5. The Department Manager shall determine the final assessment of performance level of the individual employees in his/her department based on proof of performance. The final assessment shall correspond to the adjectival description of Outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor.

6. The Department Manager may adopt appropriate mechanism to assist him/her distinguish performance level of individuals, such as but not limited to peer ranking and client feedback.

7. The average of all individual performance assessments shall not go higher than the collective performance assessment of the department.

8. The Department Manager shall ensure that the employee is notified of his/her final performance assessment and the Summary List of Individual Ratings (Annex E) with the attached ICRs are submitted to the HR Department within the prescribed period.

9. In summary, the during the semestral discussion between the immediate supervisor and employee on his performance assessment, the following documents are needed and will be submitted to the HR:
a. The employee must bring the accomplished:
   i. Annex D.1: IPCR and proofs of accomplishment
   ii. Annex D.1: At least two Individual Performance Commitment and Review (IPCR) and Monitoring Report
   iii. Annex D.2: At least two Individual Performance Mentoring and Coaching Journals. This is mandatory for employees who were rated Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.
   iv. Annex G: Summary of Competency Evaluation Form and supporting documents
   v. Annex F: Professional Development Plan (fill up the Job Function and Accomplishments portion). This is mandatory for employees who were rated Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.

b. The employee and his immediate supervisor must complete the Annex F: Professional Development Plan (agree on the Strengths of Employee, Development Areas of Employee and Plans of Action). This is mandatory for employees who were rated Unsatisfactory and Poor in the preceding semester and for employees who exhibit Unsatisfactory or Poor performance during the rating period.

D. STAGE 4: PERFORMANCE REWARDING AND DEVELOPMENT PLANNING

1. Part of the individual employee’s evaluation is the competency assessment vis-à-vis the competency requirements of the job. The result of the assessment shall be discussed by the Department Managers and supervisors with the individual employee at the end of each rating period. The discussion shall focus on the strengths, competency-related performance gaps and the opportunities to address these gaps, career paths and alternatives.

2. Appropriate developmental interventions based on the competency assessment shall be made available by the Department Manager and supervisors in coordination with the HR Department.

3. A Professional Development Plan (Annex F) to improve or correct performance of employees with Unsatisfactory and Poor performance ratings must be outlined, including timeless, and monitored to measure progress.

4. The results of the performance evaluation/assessment shall serve as inputs to the:
   a. Department Managers in identifying and providing the kinds of interventions needed, based on the developmental needs identified;
   b. HR Department in consolidating and coordinating developmental interventions that will form part of the HR Plan and the basis for rewards and incentives;
   c. PMT in identifying potential PRAISE Awards nominees for various awards categories; and,
   d. PRAISE Committee in determining top performers of the Agency who qualify for awards and incentives.
IX. MECHANICS OF PERFORMANCE RATING

A. SPMS RATING SCALE

In determining the final equivalent adjectival rating of the employee, the range of overall point scores is converted as follows:

<table>
<thead>
<tr>
<th>Rating</th>
<th>Numerical</th>
<th>Adjectival</th>
<th>Description</th>
<th>Ave. Point Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Outstanding</td>
<td>Performance represents an extraordinary level (is defined as something that goes above and beyond what is expected; or an employee serving an unusual or special function in addition to those of the regular employees) of achievement and commitment in terms of quality and time technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance level should have demonstrated exceptional job mastery in all major areas of responsibility. Employee achievement and contributions to the organization are of marked excellence.</td>
<td>4.51 - 5.00</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Very Satisfactory</td>
<td>Performance exceeded expectations. All goals, objectives and targets were achieved above the established standards.</td>
<td>3.01-4.50</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Satisfactory</td>
<td>Performance met expectations in terms of quality of work, efficiency and timeless. The most critical annual goals were met.</td>
<td>2.01-3.00</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Unsatisfactory</td>
<td>Performance failed to meet expectations, and/or one or more of the most critical goals were not met.</td>
<td>1.01-2.00</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Poor</td>
<td>Performance was consistently below expectations, and/or reasonable progress toward critical goals was not made. Significant improvement is needed in one or more important areas.</td>
<td>1.00</td>
<td></td>
</tr>
</tbody>
</table>

B. TWO COMPONENTS OF AN INDIVIDUAL'S PERFORMANCE EVALUATION

There are two parts in an Individual's Performance Evaluation in a given rating period.

1) Part I: IPCR (100%),
2) Part II: Competency Assessment Rating (0%),

1. Part I - Components of Individual's Performance Rating (100%)

a. Performance Assessment for Individual Employee/IPCR (70%)

i. Refer to Item VIII, Sec. C for Performance Assessment for Individual Employees

ii. The resulting equivalent point score is then multiplied by 100% which accounts for the weight of an Individual's Performance Evaluation of Part I.
b. Office Performance Assessment/OPCR (0%)  

i. Refer to Item VIII, Sec. C for Office Performance Assessment  
   ii. The resulting equivalent point score is then multiplied by 0% which accounts for the  
       weight of Part II.

2. Part II - Individual's Competency Assessment Rating (0%)  

a. Individual Competency Assessment Rating - *(Reflects the competency dimensions that affect  
the job performance of the employee. For this purpose, factors like leadership,  
judgement/decision-making and the like may be used depending on the requirements of the  
job.)* Refer to Sections X and XI for details of assessment.

b. This provides a means of evaluating employee contribution and efforts beyond existing  
performance contributions. There will be three competencies evaluated namely 1) Core  
competencies 2) Leadership and Management competencies and 3) Functional  
competencies.

c. The Competency Assessment is Part II of an Individual's Performance Evaluation.

For Competency Assessment the range of point scores associated with the Adjectival  
and Numerical Ratings are in the table below.

<table>
<thead>
<tr>
<th>Adjectival Rating</th>
<th>Numerical Rating</th>
<th>Core Competencies</th>
<th>Leadership &amp; Management Competencies</th>
<th>Functional Competencies</th>
<th>Point Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outstanding</td>
<td>5</td>
<td>Shows mastery of competencies and pursues continued development</td>
<td>Shows mastery of competencies and pursues continued development</td>
<td>Shows mastery of competencies and pursues continued development</td>
<td>4.50 - 5.00</td>
</tr>
<tr>
<td>Very Satisfactory</td>
<td>4</td>
<td>Shows mastery of competencies and desires continued development</td>
<td>Shows mastery of competencies and desires continued development</td>
<td>Shows mastery of competencies and desires continued development</td>
<td>3.00 - 4.50</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>3</td>
<td>Competent with a desire for development</td>
<td>Competent with a desire for development</td>
<td>Competent with a desire for development</td>
<td>2.00 - 3.00</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>2</td>
<td>Occasionally competent with minimal desire for development</td>
<td>Occasionally competent with minimal desire for development</td>
<td>Occasionally competent with minimal desire for development</td>
<td>1.00 - 2.00</td>
</tr>
<tr>
<td>Poor</td>
<td>1</td>
<td>Incompetent and no desire for development</td>
<td>Incompetent and no desire for development</td>
<td>Incompetent and no desire for development</td>
<td>1.00</td>
</tr>
</tbody>
</table>
X. MWSS Competencies

A. Basic Competencies

1. MWSS Core Competencies – strengths in multiple processes, technologies and skills that have added value to the industry and central to the organization. All employees must possess these.

   a. Accountability - the demonstrated ability to accept additional duties and responsibilities, the assumption of risks attached to one’s position, without back passing and credit grabbing. Also refers to displayed ability to stand up for decisions accepting responsibilities for one’s decisions.
   
   b. Water and Security Legacy Program Knowledge - the displayed ability and interest to share basic water and sewerage knowledge and information including WSL plans & programs for use in organization process understanding
   
   c. Policy Knowledge and Understanding - the displayed ability to understand various policies and their inter-relatedness and the use of proper interpretation for compliance and orderly implementation.
   
   d. Communications - The ability to express ideas, solutions, recommendations; ability to listen and understand.
   
   e. Adaptability - The proven ability to adjust to changes (new technologies, process, systems, policies, rules and regulations, etc.) and ability to show willingness to accept work without complaints, demonstrated ability to adjust to changes in work situations or work environment, given demands of work.
   
   f. Human Relations – The proven ability to show empathy towards members of the organization/company, understand human reactions (maka-tao) & the ability to empathize, at the same time, be firm in understanding the plight of employees
   
   g. Professionalism – The displayed ability of performing tasks with genuine earnest and honesty; doing his / her job with sincerity, and maintaining professional etiquette and ethics in the workplace.
   
   h. Computer literacy - The displayed understanding and ability to use computer in the workplace both on basic hardware and use appropriate software

2. MWSS Leadership and Management Competencies – strengths that all leaders/managers in the organization must possess.

   a. Role Modelling – The displayed ability to lead by example the different leadership and management expectations or competencies; displayed ability to lead others based on agreed set of actions, values or principles and make people in the organization support plans and programs
   
   b. People Management - The ability to lead, motivate, train, inspire, and encourage employees within his or her department
   
   c. Operations management – The ability to administer business practices to create the highest level of efficiency possible within an organization; the ability to determine targets for the office and monitor outcome.
   
   d. Strategic Thinking - The displayed ability to translate and use required management processes and information into clear directions and points of actions with projected or anticipated results.

3. MWSS Functional Competencies – strengths that employees in a particular department or division must possess. “Must” competencies (displayed sets of skills or multiple related process
methods based skills) to be observed, by all employees in their groups, departments, divisions or sections/units. The competencies requirement shall apply depending on the nature of the job/function in the department as may be determined by the Department Manager.

a. LEGAL DEPARTMENT

i. Legal writing/communication - The ability to render appropriate and effective opinions, perform contract reviews, provide sound legal advice to management, formulate policies and pleadings borne out of research work and knowledge of related policies

ii. Adjudication management – The ability determine, submit, participate to related higher needs of the organization and perform in the various nature such as but not limited the following:
   1) As hearing officer.
   2) As mediator
   3) As arbitration
   4) As investigator

iii. Legal representation for MWSS – ability to demonstrate proper courtroom proceedings and decorum

iv. Case records management – Ability to maintain critical records

v. Intellectual property management – Ability to determine & seek protection on various management related ideas, concepts, practices, tools, symbols, etc. that are necessary in the delivery of operations and mandates of the organization

b. FINANCE DEPARTMENT

i. Financial knowledge – ability to show one’s familiarity with the role and function of finance
   - Financial report
   - Accounting and auditing procedures
   - Journal entry and analysis
   - Financial technology
   - Controlling skill

ii. Government rules and internal rules compliance – shows observation and understanding of rules, restrictions on how to handle government or agency finances, auditing rules and procedures
   - Controlling skills
   - Rules and regulations compliance laws
   - Inter-agency coordination/communication

iii. Cash management and budgeting/loan management – ability to apply the proper use of funds and investments

iv. Time management – has the ability to show timeliness in delivery of reports

v. Technical capability – ability to apply knowledge and skills, use the necessary experience in all areas such as planning, project management, contract management, etc.
c. ENGINEERING AND PROJECT MANAGEMENT DEPARTMENT

i. Project planning and development (preparatory work) – ability to prepare plans and programs, identify options, formulate policies, prepare water and wastewater roadmaps, source project funding, and show project preparedness (ICC/NEDA approval)

ii. Project Management (actual project) – ability to maintain, conduct, manage, perform project supervision in its entirety for successful completion, contract administration delivery of projects

iii. Technical Concession Compliance – ability to monitor and manage projects of concessions according to given standards thru the following:
   • Technical review of CAPEX projects, monitoring, assessment as to compliance with targets, compliance to MWSS standards and specifications, approval of concessionaire innovative technologies and specifications

iv. Operations management (Umiray) – ability to demonstrate knowledge and maintain, improve operations of facilities under MWSS

v. Special engineering tasking - ability to coordinate and liaise with other agencies, technical report writing, securing permits, ICC approval, emergency support preparation and approval of MOAs/MOUs

vi. Technical Writing – the ability to prepare, edit reports and documents in relation to a technical topic, the ability to present data, information and conclusion in manner that is understandable and comprehensible even to non-technical audience

d. PROPERTY MANAGEMENT DEPARTMENT

i. Data/records management – ability to determine accurately information pertaining to:
   • Turn-over GAE (MWSS and concessionaire)
   • Project GAE (MWSS and concessionaires)
   • Investment of concessionaires (Asset Condition Report)

ii. Basic mapping and GIS knowledge – The ability to translate, apply techniques to determine basic mapping elements that will produce required materials needed in the day to day work on asset, watershed management, etc. of the MWSS.

iii. Inventory/disposal management – The ability to maintain asset and related records provide inputs to determination of proper usage of all assets of management including the use of proper means and measures to

iv. Real assets management - Ability to demonstrate management of all real assets thru the protection, best use, preservation including the titling, securing insurance and taxes in a timely manner maintenance, and leasing of real properties

e. BOARD SECRETARIAT

i. Data management – ability to put together both confidential and non-confidential information and install, maintain a system of use of office, directors both physical and content

ii. Communication skills – ability to express both oral and written skills by relating information discussions, capture committee, board meeting minutes, directives to operations, board resolutions

iii. Records management – ability to safeguard various office related documents
iv. Work and demands management — ability to address multiple concerns of all stakeholders of the office (RO, directors, government agencies, MWSS management, concessionaires and use proper judgment in the delivery of services that will protect the organization within the bounds of ethical governance

v. Process & Protocol Compliance — ability to show skills in designing process and protocols for information access, board resolution information dissemination and make recommendations on system of servicing and providing needs of stakeholders required from members of the board.

f. CORPORATE PLANNING

i. Technical Presentation— ability to demonstrate skills in presentations, report writing of plans, result of planning, information dissemination, press and media releases including report to management on the various status, updates on plans and programs

ii. IT knowledge — ability to utilize information as a technology and the use of hardware necessary in the performance of effective planning function

iii. Strategic planning (yearly and long-term)— ability to use appropriate processes in planning, operations research, operations management, etc., and use, integrate data of various nature such as engineering, policies for management use. Proven ability to perform:
   • Inter-agency liaison with other agencies to tie with international and national goals
   • Timely & necessary monthly, quarterly, yearly planning process tied to the budgeting process
   • Financial planning skills (financial forecasting tools, funds sourcing)

iv. Planning Tools & Techniques Management — ability to determine, use, manage appropriate planning models for the total organization and its various offices and ensure delivery of output for presentation and use of management and required agencies of government

g. OFFICE OF THE ADMINISTRATOR

i. Knowledge of Water Security Legacy (WSL) Program — the ability to articulate the rationale, importance and components of the WSL Program to management and key stakeholders.

ii. Project management and monitoring — ability to maintain, conduct, manage, perform program supervision in its entirety using productive methodologies.

iii. In-depth knowledge of basic strategic planning processes — the ability to understand national and MWSS planning cycles and integrate this into the department and individual commitment plans
   a. Knowledge of the Philippine strategic and yearly planning cycle — the ability to understand the integration of the Millenium Development Goals (MDG) to the Philippine Development Plan and how they influence the MWSS Strategic Planning cycle.
   b. Knowledge of MWSS Strategic planning cycle — the ability to integrate the Philippine goals with agency goals, mission and vision.
   c. Knowledge of the Strategic Performance Management Systems (SPMS) — the ability to integrate MWSS goals and thrusts with both departmental and individual commitments and ensure those commitments are met.
iv. Planning Tools & Techniques Management — ability to determine, use, manage appropriate planning models for the organization
v. Planning, organizing and communication — the ability to take personal initiative in optimizing one's performance using the appropriate planning methodologies and computer skills.
vi. Technical Writing — the ability to prepare, edit reports and documents in relation to a topic, the ability to present data, information and conclusion in a manner that is understandable and comprehensible even to non-technical audience.

vii. Analytical and Problem solving - the ability of finding orderly solutions to work problems and using cost-benefit analysis tools.

viii. Communications strategy development — the ability to develop an effective information dissemination strategy considering company goals and thrusts, operational constraints and imperative and existing conditions both internal and external to the organization.

ix. Records Management - the ability to establish a systematic process of recording, safekeeping and managing all project and administrative records

h. TECHNICAL SUPPORT TO OPERATIONS

i. Time Management — the ability to address and deliver needs of the office in a timely manner.

ii. WSL Knowledge — the ability to show and apply basic knowledge of all related WSL plan and programs necessary in the performance of day to day office operations covered by the function

iii. Change Management — shows the ability to adapt to various tasks, instructions, directions and conditions of work required by the immediate supervisor and clients or stakeholders of the office

iv. Deliverability & Work Management — the ability to show, provide efficient and effective service to all stakeholders, customers and translate work directions of the immediate into

v. Financial process understanding — the ability to understand financial data and processes that affect work in terms of financial info, write ups, reports

vi. Technical Writing — the ability to prepare, edit reports and documents in relation to a technical topic, the ability to present data, information and conclusion in manner that is understandable and comprehensible even to non-technical audience

i. ADMINISTRATIVE AND GENERAL SERVICES

i. Time Management — the ability to address and deliver needs and services of the office in a timely manner.

ii. Building Management — the ability to conduct efficiently the repair and maintenance of offices and premises. This includes understanding plumbing works, carpentry, electrical, air conditioning and telecommunications systems. Technical knowledge is required in the following areas:
   a. Demonstrates a designated level of technical skill or knowledge in a specific technical area/s and keeps up with current developments and trends in areas of expertise e.g. carpentry, plumbing, electrical, production
   b. Recognizes basic blueprint terms and symbols
   c. Understands can can apply concepts and practices in building systems and trades
d. Understands the importance of regulatory requirements on Health, Safety, and Environment

e. Understands vehicle operation and maintenance policies and procedures

f. Understands the office maintenance and procurement processes established for government
g. Understands the management processes for utility, gasoline, telecommunications and advertisement.

iii. Records Maintenance and Management – the ability to establish a system of procedure in recording, safekeeping and managing all personnel records and all other documents for ease in locating and retrieving records.

j. HUMAN RELATIONS DEPARTMENT

i. Managing Change – the ability to understand the change process from the perspective of the change sponsor, change implementer and change recipient and takes initiative to make a smooth transition from the current to the desired state.

ii. Decision Making – the ability to identify issues, concerns pertaining to individual personnel in case of complaint or commission of acts contrary to civil service law and decide on the appropriate action to be taken.

iii. Personnel Management - the ability to effectively conduct specialized functions such as employee recruitment, selection, performance evaluation, promotions, transfers, action on protested appointments, position classification, and employee relations

iv. Personnel Benefits Administration – the ability to effectively handle MWSS fringe benefits, allowances, honoraria and other forms of compensation.

v. Training Program Development and Management – the ability to formulate training objectives and develop a need-based training design for specific trainees and the ability to manage training programs, facilitating and managing training sessions utilizing various training methodologies.

vi. Records Maintenance and Management – the ability to establish a system of procedure in recording, safekeeping and managing all personnel records and all other documents for ease in locating and retrieving records.

vii. Knowledge of the Civil Service Laws and Rules as stated but not limited to:

a. Personnel Policies and Standards
b. Right to Self-Organization
c. Discipline
d. Prohibitions
e. Leave of Absence

viii. Technical Writing – the ability to prepare, edit reports and documents in relation to a technical topic, the ability to present data, information and conclusion in manner that is understandable and comprehensible even to non-technical audience

k. INTERNAL AUDIT

i. Risk Assessment – the ability to identify and analyze risks to the achievement of operations, financial reporting, and compliance objectives, forming a basis for determining how those risks should be managed

ii. Knowledge of Control Activities – the ability to develop policies and procedures that help ensure that actions identified as necessary to manage risks are carried out properly and in a timely manner. This includes the actions necessary to mitigate risks to prudently acceptable levels. This includes approvals, authorizations, verifications,
reconciliations, reviews of performance, security of assets, segregation of duties and controls over information systems.

iii. Information Dissemination and Communication – the ability to inform and communicate control activities to effect control. The ability to communicate both verbally and in writing is needed.

iv. Monitoring – the ability to assess internal control performance over time to ensure that internal control is adequately designed and properly executed.

v. Knowledge of the following:
   a. Code of ethics for government internal auditors
   b. International standards or the professional practice of internal auditing
   c. Audit Process and when to apply the different audit processes
   d. Excellent documentation of audits with the use of the Working Paper documentation process
   e. Quality Assurance process checks of all audits

XI. Competency Evaluation using the 360 Degree Feedback Tool

A. A 360 Degree Method or Incidents Based Method taken from the Targeted Selection Process was agreed to be used in the Competency-based Performance Evaluation. Competency Assessment is PART II of the Individual’s Performance Evaluation where Part I covers IPCR (Balance Scorecard targets of employee). Hence, an over-all rating for both will be required.

B. 360-degree feedback is feedback that comes from members of an employee’s immediate work circle. Feedback comes from an employee’s peers, subordinates, supervisors, customers as well as self-evaluation. The results from a 360-degree feedback are used to plan and map specific actions for their individual development.

C. Competency assessment using the 360 Degree Feedback tool is obtaining feedback on a person’s competencies as defined in Section X of this document.

D. Gathering of Competency Evaluation feedback is scheduled in May and November of the year.