

Guidelines on the System of Rating and Ranking Delivery Units and Individuals

The National Library of the Philippines (NLP) adopts internal guidelines in rating Delivery Units (DUs) and Individuals based on the approved NLP's Strategic Performance Management System (SPMS). Furthermore, in compliance with the Memorandum Circular No. 2016-1 dated May 2016 issued by the Inter-Agency Task Force (IATF) on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems, NLP shall be guided by criteria and conditions in order to be eligible for the grant of the PBB for FY 2016. Thus, this guidelines is divided into two parts:

A] Guidelines on the System of Rating Delivery Units and Individuals

I. Rating Period

Performance evaluation of employees, whether officers or rank and file, is undertaken every semester (January – June and July –December). The minimum appraisal period is at least ninety (90) calendar days which shall be made applicable to newly hired, reemployed or reinstated personnel. For those personnel reassigned or transferred from one delivery unit to another within the organization, they will be rated accordingly by raters in the delivery unit where they came from and rater in the new unit where they are currently assigned. To determine the final rating, the raters in the present will compute the average of the two (2) ratings with the ratee's length of stay in each unit proportionately.

II. Performance Commitments and Targets

1. Delivery Units (DUs) Commitments and Targets

Using the prescribed Division Performance and Commitment Review (DPCR) guided by the Organization Performance Commitment Review (OPCR), each DUs determine the delivery targets/goals (semi-annual) which are the expected accomplishments set to be achieved within a given period of time taking into account the performance agreement with the government. All DPCRs should be duly approved by the Delivery Unit Chief and concurred by the Director.

2. Individual Commitments and Targets

Using the prescribed Individual Performance Commitment Review (IPCR) guided by DPCR, each ratee prepares his/her success indicators which define the performance targets and measures, duties and work assignments given by the rater with the work output of each duty clearly stated by the rater and understood by the ratee based on the targets of the DUs. The performance targets and measures of rank and file employees shall be subject to approval by the Chief of the Delivery Unit.

3. Modification

3.1. At any time during the rating period, the rater and the ratee may re-negotiate goals and success indicators (targets and measures), whenever applicable and necessary, especially if there are changes in the thrust and programs of the DU. Modification of the originally planned targets may also be allowed in cases where an employee is given special assignments that would significantly affect the accomplishments of the original plan and targets. In such case, the special assignment will no longer be treated as an intervening task but as a regular task.

3.2. The DU Chief shall concur with the adjustments in individual targets while change in the DU target must be concurred in by the Director.

III. Performance Review, Evaluation and Rating

1. Performance Review

At this phase, the raters (Section Heads, Assistant Chiefs and Delivery Unit Chiefs) play a crucial role. The focus is on their critical function as coaches and mentors in order to provide an enabling environment/intervention to improve team performance and manage to develop individual potentials.

2. Performance Evaluation and Rating

Performance evaluation on the IPCRs and DPCRs shall be within 15 calendar days. Rating the tasks shall always be supported by reports or any documents as proofs of actual performance.

2.1. Performance Evaluation for Individuals

2.1.1 Based on the levels of performance stated in the NLP's SPMS, the overall rating for a given period is the average of the job performance (100%).

2.1.2 Using the prescribed IPCR Form, the rater will assess the ratee's actual job performance as against targets and established work measures. The rater and the ratee will then meet and discuss the final rating and settle any differences, if there are any.

2.1.3 Rating the Performance of Intervening Tasks – These include membership in ad-hoc committees, research work and other assignment/s which require a considerable amount of effort

and time of the employees and are duly covered by an office order.

2.1.3.1 Rating of intervening tasks shall always be supported by report of outputs/accomplishment as proof of actual performance. In the absence of said bases or proofs, a particular task shall not be rated and shall be disregarded.

2.1.3.2 These intervening tasks will be considered and may be given up to a maximum of 0.50 additional point to the ratee's final rating for "Job Performance" if these were done simultaneously with the planned targets, and provided all or almost all of the following criteria are met:

- said task is not within the regular functions of the employee or the work program/performance contract of the delivery unit;
- there is an urgency in the completion of the intervening task;
- non-compliance/performance of the intervening task will unduly prejudice the service;
- ratee's planned targets for the rating period under consideration were all accomplished and rated at least satisfactorily;
- performance or completion of said intervening tasks require an aggregated period of at least a week.

2.1.4 The rater and the ratee will affix their corresponding signatures to the IPCR, to be concurred in by the next higher supervisor or officer, as the case maybe.

2.1.5 The rating on the performance of a ratee who was on-leave should be based on her actual accomplishments on the time he/she reported for duty.

2.1.6 Outstanding rating must be justified by the Chief of the Delivery Unit in terms of individuals' personal initiative, work attitude, customers' satisfaction, innovative ideas and other contributions that led to the improvement or development of the individuals' unit or the organization.

2.2 Performance Evaluation for Delivery Unit

2.1.1 Based on the levels of performance stated in the NLP's SPMS, the overall rating for a given period is the average of the actual performance.

2.1.2 Using the prescribed DPCR Form, each DUs will be evaluated on their actual performance against targets and established work measures.

B.] Guidelines on the System of Ranking Delivery Units and Individuals

This guidelines will serve as basis for granting the Performance-Based Bonus (PBB) for FY 2016

I. Eligibility Criteria

The National Library of the Philippines (NLP) must meet the following criteria to comply with the Memorandum Circular No.2016-1 dated 12 May 2016 issued by the Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems (IATF) in order to be eligible for the grant of PBB for FY 2016.

1. Achieve agency performance targets under their respective Major Final Outputs (MFOs) under the Performance Informed Budget (PIB) of the FY 2016 GAA and General Administration and Support Services (GASS);
2. Satisfy 100% of the good governance conditions set by the AO 25 IATF for FY 2016;
3. Use the CSC-approved Strategic Performance Management System in rating the performance of First and Second Level officials and employees and officials holding managerial and Director Positions but are not Presidential appointees; and the Career Executive Service Performance Evaluation System (CESPES) in rating the performance of CES officials and incumbents of CES positions.

II. FY 2016 Performance Targets

1. All MFO indicators and targets in the FY 2016 Performance-Informed Budget (PIB) approved by Congress shall be the basis for assessing eligibility for the PBB;
2. In addition to the MFO indicators targets in the FY 2016 PIB, NLP shall also accomplish the following:

- a. Establishment of a Quality Management System (QMS) for at least one core process certified by any international certifying body approved by the AO 25 IATF or ISO aligned documentation of its QMS for one core process as evidenced by the presence of the following documentations in the agency Transparency Seal:
 - a.1 Approved Quality Manual; and
 - a.2 Approved Procedures and Work Instructions Manual including forms.

3. The GASS targets shall be as follows:

a. Budget Utilization Rate (BUR), which shall consist of:

- a.1 Obligations BUR computed as obligations against all allotments available in FY 2016, including those released under the “GAA as a release document” policy; and
- a.2 Disbursement BUR which is measured by the ratio of total disbursement (cash and non-cash, excluding personnel services) to total obligations for maintenance and other operating expenses (MOOE) and capital outlays (CO) in FY 2016.

b. Compliance to Public Financial Management (PFM) reporting requirements of the COA and the DBM in accordance with the prescribed content and period of submission under existing laws, rules and regulations. This includes the following:

- b.1 Budget and Financial Accountability Reports (BFARs)
- b.2 Report on Ageing of Cash Advances
- b.3 COA Financial Reports (Statement of Financial Position; Statement of Financial Performance; Statement of Changes in Net Assets/Equity; Statement of Cash Flows; Statement of Comparison of Budget and Actual Amounts; and Notes top Financial Statements) per [COA Resolution No. 2014-003].

c. Adoption and use of the FY 2015 Agency Procurement Compliance and Performance Indicators (APCPI) System per Government Procurement Policy Board (GPPB) Resolution No. 10-2012 and must meet6 the following requirements:

c.1 Submission of the 2015 APCPI results, complete with the following accomplished forms/annexes:

(1) Annex A or the Self-Assessment Form;

(2) Annex B or the Consolidated Procurement Monitoring Report;

(3) Annex D or the Procurement Capacity Development Action Plan; and the Questionnaire. The APCPI Tool may be downloaded from the GPPB website using this link:

<http://www.gppb.gov.ph/apcpi/apcpi.html>

c.2 The APCPI results must be submitted in electronic (Excel) format and printed (signed) copies on or before December 1, 2016, either electronically through monitoring@gppb.gov.ph or hand carried/mailed through the GPPB-TSO front desk.

c.3 The APCPI submissions through monitoring@gppb.gov.ph must indicate: "2015 APCPI initial Results of <Complete Name of Head Office/Agency>for PBB" in the subject line.

c.4 Timely submission of the APCPI and compliance with the prescribed format shall be mandatory.

The list of Agencies Complying with the APCPI requirement shall be posted in the GPPB website (www.gppb.gov.ph).

d. Submission of NLP Annual Procurement Plan (APP) for CY 2016 based on the agency approved budget to the GPPB and its Technical Support Office (TSO) within one month from the issuance of MC 2016-1.

d.1 APPs must be approved by the Head of the Procuring Entity and submitted within one month from the issuance of this Circular using the prescribed format under GPPB Circular No. 07-2015. A scanned copy of the APP may be sent to GPPBTSOs email: monitoring@gppb.gov.ph.

d.2 The APP submission through monitoring@gppb.gov.ph indicate: "APP for CY 2016 of <complete name of head office/agency> for PBB in the subject line.

d.3 Timely submission of the APP, as well as compliance with the prescribed format is a must.

The list of Agencies complying with the APP submission requirement shall be posted in the GPPB website (www.gppb.gov.ph).

e. In case NLP will have deficiencies in meeting its commitments, the Director will request for re-evaluation of their compliance status and submit justification/s to warrant a reconsideration of the initial assessment results. For the purpose of re-evaluation, justifiable reasons are factors that are considered outside of the control of the agency.

III. Good Governance Conditions

1. For FY 2016, the IATF set three good governance conditions based on the performance drivers of the Results-based Performance Management System (RBPMS):
 - 1.1. Maintain/Update the Agency Transparency Seal;
 - 1.2. Maintain/Update the PHILGEPS posting; and
 - 1.3. Maintain/Update the Citizen's Charter;

2. NLP Transparency Seal page should be accessible and must contain the following documents:
 1. NLP mandates and functions, missions, visions and list of officials;
 2. DBM approved budget and corresponding targets for FY 2016;
 3. Budget and Financial Accountability Reports;
 - 3.1 FY 2013 to FY 2016 FAR No. 1: SAAOBDB
 - 3.2 FY 2013 to FY 2016 Summary Report on Disbursements
 - 3.3 FY 2013 to FY 2016 AR No. 1 – Quarterly Physical Report of Operations/Physical Plan
 4. Programs/projects and activities beneficiaries as identified in the applicable special provisions. If this portion is not applicable, not applicable (NA) will be indicated;

5. Status of implementation, evaluation and/or assessment reports;
6. FY 2016 APP;
7. QMS ISO Certification for at least one core process by any international certifying body approved by the IATF or ISO-aligned QMS documents; and
8. System of Ranking Delivery units, to be posted in the agency Transparency Seal and disseminated to employees not later than October 30, 2016.

3. Assessment of agency compliance with the Good Governance Conditions and other PBB requirements shall be conducted starting October 1, 2016.

IV. Eligibility of Individuals

1. The eligibility of the NLP Head will depend on the eligibility and performance of the NLP. Their PBB shall be based on the monthly basic salary as of 31 December 2016, as follows:

Performance of NLP	PBB as % of Monthly Basic Salary
NLP achieved all GGCs and its physical targets in all MFOs and GASS indicators	65%
NLP achieved all GCCs and has deficiencies in some of its physical target/s due to uncontrollable reasons	57.5%
NLP achieved all GGCs and has deficiency in one of its physical target/s due to controllable reasons	50%

Note: Head of the NLP shall not be included in the ranking and reporting of delivery units but will be provided a separate line under Form 1.0.

2. Employees belonging to the First and Second Levels should receive a rating of at least "Satisfactory" based on the NLP's CSC approved Strategic Performance Management System (SPMS);
3. Third level officials should receive a rating of at least "Very Satisfactory" under the CESPES. CESPES covers all incumbents of CES positions in various agencies of the national government including GOCCs with original charters, for an uninterrupted period of at least three (3) months. Payment of PBB to Third Level officials shall be contingent on the release of results of the CESPES;

4. Other officials performing managerial and executive functions who are not presidential appointees are covered by the agency's CSC-approved SPMS and should receive a rating of at least "Satisfactory."

5. Personnel on detail to another government agency for six (6) months shall be included in the ranking of employees in the recipient agency that rated his/her performance. Payment of the PBB shall come from the parent agency.

6. Personnel who transferred from one government agency to another shall be rated and ranked by the agency where he/she served the longest. If equal months were served for each agency, he/she will be included in the recipient agency.

7. An official or employee who has rendered a minimum of nine (9) months of service in FY 2016 and with at least Satisfactory rating may be eligible to the full grant of the PBB.

8. An official or employee who rendered less than nine (9) months but a minimum of three (3) months of service and with at least Satisfactory rating shall be eligible to the grant of PBB on a pro-rata basis corresponding to the actual length of service rendered, as follows:

Length of Service	% of PBB
8 months but less than 9 months	90%
7 months but less than 8 months	80%
6 months but less than 7 months	70%
5 months but less than 6 months	60%
4 months but less than 5 months	50%
3 months but less than 4 months	40%

The following are the valid reasons for an employee who may not meet the nine-month actual service requirement to be considered for PBB on a pro rata basis:

- a. Being a new hired employee;
- b. Retirement;

- c. Resignation;
 - d. Rehabilitation Leave;
 - e. Maternity leave and/or Paternity Leave;
 - f. Vacation or Sick Leave with or without pay;
 - g. Scholarship/Study Leave;
 - h. Sabbatical Leave
9. An employee who is on vacation or sick leave with or without pay for the entire year is not eligible to the grant of the PBB.
10. Personnel found guilty of administrative and/or criminal cases in FY 2016 by formal and executory judgment shall not be entitled to the PBB. If the penalty meted out is only a reprimand, such penalty shall not cause the disqualification to the PBB.
11. Officials and employees who failed to submit the 2015 SALN as prescribed in the rules provided under CSC Memorandum Circular No. 3 (s. 2015), shall not be entitled to the FY 2016 PBB;
12. Officials and employees who failed to liquidate within the reglementary period the Cash Advances received in FY 2016 as required by the COA shall not be entitled to the FY 2016 PBB.
13. NLP Head should ensure that officials and employees covered by RA No. 6713 submitted their 2015 SALN to the respective SALN respository agencies, liquidated their FY 2016 Cash Advances, and completed the SPMS Forms, as these will be the basis for the release of FY 2016 PBB to individuals.

V. Ranking of Delivery Units

1. NLP and its corresponding DUs that meet the criteria and conditions are eligible to the FY 2016 PBB and shall be forced ranked according to the following categories:

Ranking	Performance Category
Top 10%	Best Delivery Unit
Top 25%	Better Delivery Unit
Top 65%	Good Delivery unit

2. To facilitate the ranking of DUs, NLP shall consider similarities of task and responsibilities to determine the most appropriate grouping or clustering of delivery units. NLP identifies the following DUs and their Performance Indicators.

Delivery Units (DUs)	Performance Indicators (PIs)
Finance and Administrative Division	<ol style="list-style-type: none"> 1. Budget Planning and Preparation 2. Budget Execution Documents (BEDs) 3. OBRs processed, approved and released 4. SARO and NCAs requested 5. Financial Accountability Reports (FARs) prepared, Encoded and Submitted within the prescribed period 6. Monthly Trial Balance and Bank reconciliation statement 7. Cash advances, SDOs, etc. processed 8. Processed all remittances 9. 200 vouchers claims for payments examined and processed 10. Documents submitted to COA 11. Official Receipts issued, Collection deposited, Daily Report of Collections submitted 12. Transactions processed: LDDAP, ACIC, SLIAE, Checks 13. Accounting reports generated and submitted 14. Payroll processed 15. Personnel documents processed 16. DTRs and Leave credits monitored and assessed 17. Personnel attended to Seminars/Trainings/Conferences 18. Processed 90% of received of purchase requests, Petty Cash Voucher, Abstract of Canvass, PhilGEPS, Procurement Service 19. Maintained PPE accounts 20. Issued RIS 21. Processed items for disposal 22. Processed Records Documents 23. Received and distributed communication 24. Performed carpentry, electrical, plumbing and other maintenance works 25. Implementation of the Structural and Retrofitting of NLP Building
Collection Development Division	<ol style="list-style-type: none"> 1. Titles/volumes acquired 2. Mechanical organization of acquired library materials 3. Bibliographic data of books and other library materials encoded in KOHA
Filipiniana Division	<ol style="list-style-type: none"> 1. Library users served 2. Library collections utilized 3. Entries of collection managed (technical) 4. Volumes of collection managed (mechanical)

	<ol style="list-style-type: none"> 5. Pages of collections under management 6. Pages/images preserved and conserved
Reference Division	<ol style="list-style-type: none"> 1. Customers served 2. Children accommodated with special services 3. Sessions of awareness programs 4. Outreach activities conducted 5. Library collections utilized 6. Reproduced materials 7. Entries of collection managed (technical) 8. Volumes of collection managed (mechanical) 9. Multicultural activities organized 10. Conducted capacity building programs
Information Technology Division	<ol style="list-style-type: none"> 1. Customers served 2. Pages digitized 3. IT/Technical support requests 4. ICT training hours 5. ICT services provided 6. ICT tasks performed
Catalog Division	<ol style="list-style-type: none"> 1. Titles/volumes of materials cataloged 2. Volumes of delivered cataloged materials 3. Sessions of trainings conducted
Bibliographic Services Division	<ol style="list-style-type: none"> 1. Entries edited for PNB 2. Articles indexed 3. Entries consolidated for special bibliography 4. Issuance of numbering system: ISBN, ISSN 5. Entries registered in ISSN Center 6. Inter-library loan
Public Libraries Division	<ol style="list-style-type: none"> 1. Libraries affiliated with signed MOA 2. Titles/volumes of selected, prepared and allocated resources 3. Affiliated public libraries allocated with library resource 4. Affiliated public libraries visited on-site 5. Patrons/clients served of Public Libraries 6. Trainings/seminars/conferences/meetings with public librarians 7. Project plans and legislation
Research and Publications Division	<ol style="list-style-type: none"> 1. Research undertaken 2. Publications 3. Copyright Registration/Certificates Issued 4. Encodes records in the database 5. Documents Filed/Arranged 6. Materials/items organized

3. The criteria below was adopted in breaking the tie for Delivery Units (DUs).

Criteria	Adjectival Rating	Point Score
Budget utilization is 90%	Outstanding	4
	Very Satisfactory	3
	Satisfactory	2
	Unsatisfactory	1
Implemented projects with minimal funding from the government	Excellent	3
	Very Satisfactory	2
	Satisfactory	1
Compliance with reports submissions within the prescribed period	Excellent	3
	Very Satisfactory	2
	Satisfactory	1

4. Only the personnel belonging to eligible DUs are qualified for the PBB. The ranking of offices/delivery units shall be indicated in Form 1.0.

VI. Ranking of Individuals

1. The ratings reflected in the IPCR for the first and second semester shall serve as the bases for the over-all rating for the subject year. The over-all rating shall be computed by deriving the weighted average of the two (2) semesters.

Sample Computation:

Rating Period	Rating
First semester	9.25
Second semester	9.50
Weighted Average	9.37
Adjectival Rating	VS

2. In case of tie, the Delivery Unit Chief must break it by exercising fair judgment and discretion. She/he can use the criteria set for justifying outstanding rating with the following point score:

Criteria	Adjectival Rating	Point Score
Personal initiative	Excellent	3
	Very good	2.5
	Good	2
	Fair	1.5
	Poor	1
Work attitude	Very poor	.5
	Excellent	3
	Very good	2.5
	Good	2
	Fair	1.5
Customers' satisfaction	Poor	1
	Very poor	.5
	Excellent	2
	Very good	1.5
	Good	1
Innovative ideas	Fair	.5
	Excellent	2
	Very good	1.5
	Good	1
	Fair	.5

VII. Rates of the FY 2016 PBB

The PBB rates of individual employees shall depend on the performance ranking of the delivery unit where they belong, based on the individual's monthly basic salary as of 31 December 2016, as follows, but not lower than Php5,000.00:

Performance Category	PBB as % of Monthly Basic Salary
Best Delivery unit (10%)	65%
Better Delivery Unit (25%)	57.5%
Good Delivery unit (65%)	50%

VIII. Submission of Reports

1. Submit duly completed and signed forms and reports to the IATF (two hard copies and e-copy of Forms A, A-1, 1.0 and other supporting documents) through the AO 25 Secretariat which shall endorse copies to the oversight/validating agencies for review/evaluation. All forms and reports should be signed by the Agency head or the duly designated official.
2. COA financial reports including the Report on Ageing of Cash Advances shall be submitted directly to COA in accordance with the mandated period of submission. COA will provide the IATF the list of agencies that complied with this condition.
 - a. To be eligible, NLP must be able to submit the FY 2015 Financial Reports not later than 31 March 2016.

b. Meanwhile, NLP must submit to COA the Report on Ageing of Cash Advance with a cut-off date of November 15, 2016 to the respective Resident Auditor on or before 1 December 2016. Upon validation, the COA Resident Auditor will be responsible to forward the validated Report on Ageing of Cash Advances to their respective Supervising Auditor/Cluster Director for proper transmittal to the Risk Management and Budget Office, COA Head Office.

3. DBM financial reports including BFARs shall be submitted directly to DBM.
4. Certificates of compliance to the Transparency Seal, ARTA and PHILGEPS are no longer necessary since the concerned oversight agency shall be conducting validation based on the agreed monitoring schedule. Results of the validation showing non-compliant agencies shall be posted in the RBPMS website.
5. NLP should submit the FY 2016 accomplishments using Forms A and A-1, and the completed Form 1.0 on the prescribed period.
6. The IATF shall conduct spot-checks to validate claims and certifications made by the NLP.

IX. Compliance Validation

As with the previous cycles of the PBB, the following oversight agencies are tasked to conduct the validation of compliance with the PBB requirement:

PBB Requirement	Validating Agency
Transparency Seal	DBM-OCIO
PHILGEPS Posting	PhilGEPS
Citizen's Charter	CSC
Submission of SALN of Employees	Office of the President, Office of the Ombudsman and CSC Note: the SALN validating agencies shall provide the list of SALM non-filers
MFO – Physical Accomplishments	OP-OES
STO – Accomplishments	
- QMS Certification or ISO-aligned QMS documentation	GQMC
- STO identified by agency head	DBM – BMB – B
GASS	
- BUR	DBM-BMB
- Public Financial Management Reports	DBM

- Submission of Financial Statements, Ageing of Cash Advance Report	COA
- BFARs	DBM and COA
- APCPI	GPPB-TSO
- Submission of APP	
Agency Rating and Ranking Report	DBM – OPCCB and DBM - NCR

X. Effect of Non-compliance

1. Agencies that are unable to comply with all the good governance conditions shall be considered ineligible for the FY 2016 PBB.
2. Prohibited Acts: An agency, which, after due process by the oversight agency, has been determined to have committed the following prohibited acts, shall be disqualified from the PBB in the **succeeding year** of its implementation. Moreover, the CSC or Ombudsman shall file the appropriate administrative case:
 - a. Misrepresentation in the submitted reports required for the PBB, commission of fraud in the payment of the PBB, and violation of the provisions of MC 2016-1.
 - b. Evenly distributing the PBB among employees in an agency, in violation of the policy of paying the PBB based on the ranking of delivery units.