



STRATEGIC PERFORMANCE MANAGEMENT SYSTEM

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PUBLIC ATTORNEY'S OFFICE STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (PAO-SPMS)

Part 1: The PAO-SPMS

I. Background

Republic Act (R.A.) No. 9406, entitled "An Act Reorganizing and Strengthening the Public Attorney's Office (PAO)" established the PAO as an independent and autonomous Office attached to the Department of Justice only for the purpose of policy and program coordination. The said law gave the PAO an expanded mandate which is to provide free legal services and assistance to indigent clients, other qualified persons and in the exigency of the service, when called upon by proper government authorities to render such service to other persons, subject to existing laws, rules and regulations, in all criminal, civil, labor, administrative and other quasi-judicial cases. Its Central Office is located at the DOJ Agencies Building, NIA Road corner East Avenue, Diliman, Quezon City. The regional and district/sub-district offices, on the other hand, are strategically located nationwide responding to indigent clients from 80 provinces, 143 cities, 1,491 municipalities and 42,028 *barangays* which are in dire need of legal assistance.

Currently, the PAO has 17 regional offices and 288 district and 5 sub-district offices. Most of the offices are situated at the Halls of Justice nationwide along with the courts and other offices involved in the administration of justice. However, some district offices are housed at rented office spaces like the PAO-Manila District Office, etc.

The Office is currently using the mandatory human resource systems under the Revised Administrative Code of 1987, which is the Performance Evaluation System (PES) administered in accordance with rules and regulations and standards promulgated by the Civil Service Commission. The system, however, focuses only on individual appraisals which are pre-requisites for promotion and other personnel actions including separation and performance-based incentives.

To address the gaps and weaknesses found in previous performance evaluation system, the agency will use the Public Attorney's Office-Strategic Performance Management System or the PAO-SPMS. The PAO-

SPMS will provide a scientific and verifiable basis in assessing and improving the performance of PAO employees and the effectiveness of the Office's programs and projects. It will strengthen the culture of performance and accountability in the Office.

II. The PAO-SPMS Concept

The PAO-SPMS is focused on linking individual performance vis-à-vis the agency's organizational vision, mission and strategic priorities. It is envisioned as a technology composed of strategies, methods and tools for ensuring fulfilment of the functions of the Services, Offices and its personnel as well as for assessing the accomplishments¹.

It is a mechanism that ensures that each employee contributes to the attainment of or helps achieve the objectives set by the organization and, on the other hand, the organization achieves the objectives that it has set itself to achieve in its strategic plan.

Performance management system (PMS) is the heart of human resource systems because information produced from it is useful in human resource planning, management and decision making processes.

The PAO-SPMS follows the four-stage PMS cycle: **performance planning and commitment, performance monitoring and coaching, performance review and evaluation, performance rewarding and development planning** (Annex F).

To complement and support the PAO-SPMS, the following enabling mechanisms will be put in place and maintained:

- A Recruitment System that identifies competencies and other attributes required for particular jobs or functional groups;
- An adequate Rewards and Incentive System;
- Mentoring and Coaching Program;
- An information communication technology (ICT) that supports project documentation, knowledge management, monitoring and evaluation;

¹ *"The PMS-OPES: Re-inventing the performance management system of the bureaucracy". Annex A of CSC Resolution NO. 1100224*

- Change Management Program; and
- Policy Review and Formulation.

III. General Objectives

The PAO-SPMS shall be prepared and administered to:

- a. Concretize the linkage of organizational performance with the Philippine Development Plan, the Agency Mandate and Program Thrusts, 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 human resource systems and ensure adherence to the principle of performance-based tenure and incentive system.

IV. Basic Elements

The PAO-SPMS shall include the following basic elements:

- a. **Alignment of Goal to Agency Mandate and Organizational Priorities.** Performance goals and measurement are aligned to the national development plans, agency 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 operation level.
- b. **Outputs/Outcomes-based.** The system puts premium on major final outputs that contributes to the realization of organizational mandate, mission/vision, strategic priorities, outputs and outcomes.
- 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 Service/office/unit 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 major final outputs 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 (IS) are vital components of the PAO-SPMS in order to facilitate linkage between organizational and employee performance. The M&E and IS will ensure generation of timely, accurate and reliable information for both performance monitoring/tracking, accomplishment reporting, program improvement and policy decision making.
- f. **Communication Plan.** A program to orient agency officials and employees on the new and revised policies on PAO-SPMS shall be implemented. This is to promote awareness and interest on the system, generate employees' appreciation for the PAO-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. Key Players and Responsibilities (Annex M)

a. The Chief Public Attorney as PAO-SPMS Champion

- Primarily responsible and accountable for the establishment and implementation of the PAO-SPMS.
- Sets agency performance goals/objectives and performance measures.
- Determines agency target setting period.
- Approves office performance commitment and rating.
- Assesses performance of Services and Offices.

b. Performance Management Team (PMT)

1. Deputy Chief Public Attorney as Chairperson
2. Service Head, Legal Research Service
3. Service Head, Field Operations and Statistics Service (For personnel training and development)
4. Service Head, Special and Appealed Cases Service
5. Head Executive Assistant, Executive Support Staff (ESS)
6. Director, Administrative Service
7. Director, Financial Planning and Management Service (For Organizational Planning and for Financial Management)
8. Chief Administrative Officer, (Human Resource Management Officer) directly responsible for human resource management
9. Supervising Administrative Officer, (For PAO Employee Association Authorized Alternative Representative)

(For Regional and District Offices)

10. Regional Public Attorney as Chairperson
11. Administrative Officer V (for Human Resource Management)
12. One (1) designated personnel for financial management
13. One (1) designated personnel for organization planning
14. One (1) designated personnel as representative of the rank and file employees

The PMT shall have the following functions and responsibilities:

- Sets consultation meeting with all Heads of Services and Offices, as the case may be, for the purpose of discussing the targets set in the Office Performance Commitment and Rating (OPCR) Form.
- Ensures that office performance targets and measures, as well as the budget are aligned with those of the Agency and that work distribution of Services and Offices is rationalized.
- Recommends approval of the office performance commitment and rating to the Chief Public Attorney.
- Acts as appeals body and final arbiter for performance management issues of the agency.
- Identifies potential top performers and provides inputs to PRAISE Committee for grant of awards and incentives.
- 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 absence of its members.

The Financial Planning and Management Service shall serve as the PMT Secretariat in the PAO-Central Office. In the Regional Offices, the RPA/Chairperson shall designate the PMT Secretariat.

c. Planning Office

- Monitors submission of OPCR Form and schedule the review/evaluation of Office commitments by the PMT before the start of a performance period.
- Consolidates, reviews, validates and evaluates the initial performance assessment of the Heads of Services and Offices based on reported Office accomplishments against the success indicators, and the allotted budget against actual expenses. The result of the assessment shall be the basis of PMT's recommendation to the Chief Public Attorney who shall determine the final Office rating.
- Conducts an agency performance planning and review conference annually for the purpose of discussing the Office assessment for the preceding performance period and plans for the succeeding rating period with concerned Heads of Services or Offices, as the case may be. This shall include participation of the Financial Unit as regards budget utilization.
- Provides each Services/ Offices with the final Office Assessment to serve as basis in the assessment of individual employees.

d. Human Resource Management Office

- Monitors submission of Individual Performance Commitment and Review (IPCR) Form by Heads of Divisions/Offices.
- Reviews the Summary List of Individual Performance Rating 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 Chief Public Attorney.
- Provides analytical data on retention, skill/competency gaps, and talent development plans that align with strategic plans.
- Coordinate developmental interventions that will form part of the Human Resource (HR) Plan.

e. Head of Service/Office

- Assumes primary responsibility for performance management in his/her Service/Office ensuring attainment of performance objectives and targets
- Conducts strategic planning session with 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 Planning Office
- Rationalizes distribution of targets/tasks
- Reviews and approves IPCR Form for submission to the HRM Unit/Personnel Office before the start of the performance period.
- Submits a quarterly accomplishment report to the Planning Office based on the PMS calendar² (Annex D)
- Does initial assessment of office's performance using the approved OPCR Form
- Monitors closely the status of performance of their subordinates and provides support and assistance through the conduct of coaching for the attainment of targets set by the Divisions or Offices and individual employees
- Determines final assessment of performance level of the individual employees in his/her office based on proof of performance
- Informs employees of the final rating and identifies and recommends necessary interventions to employees based on the assessment of developmental needs
 - Recommends and discusses a development plan 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 approved and signed by the Chief Public Attorney.
 - Provides preliminary rating to subordinates showing Poor Performance not earlier than the third (3rd) month of the rating period. A development plan shall be discussed with the

² The timetable for the preparation, review and approval of performance targets, standards, and ratings.

concerned subordinate and issues a written notice that failure to improve his/her performance shall warrant his/her separation from the service approved and signed by the Chief Public Attorney.

f. Individual Employees

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

Part 2: The PAO-SPMS Process

I. The PAO-SPMS Cycle

The PAO-SPMS shall follow the same four-stage **PMS** cycle that underscores the importance of performance management.

Stage 1: Performance Planning and Commitment (Annex G)

This is done at the start of the performance period where the Chief Public Attorney meet with the Service Chiefs/Regional Public Attorneys, members of the Performance Management Team (PMT), supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization.

The PMT shall carry out its functions and responsibilities as enumerated under Part I, V- B in order to ensure that commitments and goals of the different Services and Offices will be met. They shall act as the lead and consultative body in the performance planning and commitment of all Services and Offices of PAO.

During this stage, **success indicators** are determined. Success indicators are performance level yardsticks consisting of **performance measures and performance targets**. This shall serve as bases in the office and individual employee's preparation of their performance contract and rating form.

Performance measures (Annex C) are those that contribute to or support the outcomes that the Agency aims to achieve. The performance measures must be continuously refined and reviewed.

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

Category	Definition
Effectiveness /Quality	The extent to which actual performance as compared with targeted performance. The degree to which objectives are achieved and the extent to which targeted problems are solved. In management, effectiveness relates to <i>getting the right things done</i> .
Efficiency	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.
Timeliness	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 others.

The Chief Public Attorney shall cause the determination of the "agency target setting period",³ a period within which the office and employees' targets are set and discussed by the raters and the ratees, reviewed and concurred by the head of the Service/Office and submitted to the PMT.

The Agency Mandate, Program Thrusts and Major Final Outputs shall be the basis of the targets of the Office. Aside from the Office commitments explicitly identified under each Strategic Priority and major final outputs⁴ that contribute to the attainment of organizational mission/vision which form part of the core functions⁵ of the Office shall be indicated as performance targets.

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

³ Before the start of the performance period.

⁴ MFOs are goods and services that a department/agency is mandated to deliver to external clients through the implementation of programs, activities and projects (per DBM published Organization Indicators Framework (OPIF) Book of Outputs for 2011).

⁵ Core functions are those performed by the Office, inherent in its mandates.

- **Historical data.** The data shall consider past performance.
- **Benchmarking.** This involves identifying and comparing the best practices within the agency. 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 Division or Office may consult with stakeholders and review the feedback on its services.
- **Top Management instruction.** The Chief Public Attorney 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 Office with its potential performance.

In setting work targets, the Office shall likewise indicate the detailed budget requirements per expense account to help the Chief Public Attorney in ensuring a strategy driven budget allocation and in measuring cost efficiency. The Office 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 Form (Annex A).

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

Unless the work output of a particular duty has been assigned pre-set standards by management, its standards shall be agreed upon by the supervisors and the ratees.

Individual employees' performance standards shall not be lower than the agency's standards in its approved OPCR Form.

Stage 2: Performance Monitoring and Coaching

During the performance monitoring and coaching phase, the performance of the Office and every individual shall be regularly monitored at various levels: i.e., the Chief Public Attorney, Planning Office, Service and Section Heads, and individual, on a regular basis.

Monitoring and evaluation mechanisms should be in place to ensure that timely and appropriate steps will be taken to keep a program on track and to ensure that its objectives or goals are met in the most effective manner (Annex

H,I and J). Also a very vital tool of management at this stage is an information system that will support data management to produce timely, accurate and reliable information for program tracking and performance monitoring/reporting.

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.

Stage 3: Performance Review and Evaluation (Office Performance and Individual Employee's Performance)

This phase aims to assess both Office and individual employee's performance level based on performance targets and measures as approved in the office 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**

The Planning Office shall consolidate, review, validate and evaluate the initial performance assessment of the Heads of Divisions 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 Chief Public Attorney. The Chief Public Attorney shall determine the final rating of Divisions.

An agency performance review conference shall be conducted annually by the Planning Office for the purpose of discussing the Office assessment with concerned Heads of Divisions. This shall include participation of the Financial Office as regards budget utilization. To ensure complete and comprehensive performance review, all Services/Offices shall submit a quarterly accomplishment report to the Planning Office based on the PAO-SPMS calendar⁶ (Annex D).

Any issue/ appeal/protest on the Office assessment shall be articulated by the concerned head of Division and decided by the Chief Public Attorney during

⁶ The timetable for the preparation, review and approval of performance targets, standards, and ratings.

this conference; hence the final rating shall no longer be appealable / contestable after the conference.

The Planning Office shall provide each Service/Office with the final Office Assessment to serve as basis of offices in the assessment of individual staff members.

- **Performance Assessment for Individual Employees**

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. It is also expected that the immediate supervisor keeps documenting evidence on the kind of outputs of individual employees which will be used as bases for employee assessment and for determining employee's contributions to major final output.

The PAO-SPMS puts premium on major final outputs towards realization of organizational mandate and 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.

The supervisor shall indicate qualitative comments, observations and recommendations in the individual employee's performance commitment and review form to include competency assessment⁷ and critical incidents⁸ which shall be used for human resource development purposes such as promotion and other interventions.

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 Head of Division or Office.

The Head of Service/Office shall determine the final assessment of performance level of the individual employees in his/her Service/Office based on proof of performance. The final assessment shall correspond to the adjectival

⁷ *Competencies are observable, measurable and vital behavioural skills, knowledge and personal attributes that are translations or organizational capabilities deemed essential for success. Competencies shall be identified for a particular position or job family.*

⁸ *Record of events. Happenings or actual information affecting the overall accomplishments of the employee during the particular rating period.*