Memorandum Reference No. M18-04-154
Adoption of Revised ATI Strategic Performance Management System (SPMS) Implementing Guidelines
April 3, 2018

The memorandum provides a guideline on the Agency's Strategy Performance Management System to effectively establish a link between individual performance and the ATI's organizational performance, all operating units as prescribed by the Civil Service Commission.

The guideline aimed to strengthen the Institute's effectiveness and increase productivity and efficiency through the following:

- Establish and institutionalize a concrete and verifiable basis in evaluating the institute's performance and the collective performance of individuals within the ATI;

- Concretizing the linkage of the agency's strategic plan including its Performance Indicators Framework with the performance of each division/training center and of individual employees;

- Linking performance management with all Human Resource Management System components using one platform, specifically incentives and rewards, personnel movements, training and development, and administrative and other personnel actions.

Salient Extension Provisions

V. The ATI SPMS Guidelines
A. Performance Planning and Commitment. During the ATI's internal budget hearing process, the Head of Agency of the organizational unit together with members of his/her team (Division or Training Center) works out his/her Office's Work and Financial Program (WFP) - complete with physical targets and financial requirements for a given year. The PAPs to be undertaken within a given period are translated into the Division/Training Center's commitments in the Office Performance Commitment and Review (DPCR) Form (Annex 1). The targets become the reference of each Division/Training Center/Office staff in listing his/her own performance targets for the same period. He/she does this using the prescribed Individual Performance Commitment and Review (IPCR) Form (Annex 2).

To help the ATI in achieving the requirements of the prescribed SPMS, most especially in the planning stage, the ATI Scorecard (Annex 3) was devised for easier identification of targets in a year, as well as easier monitoring of the accomplishments of these targets. Conceptualized as both a reflection and aggregation of the Institute's mandates, vision and mission, the ATI scorecard will serve as both the basis of targets for the Institute and its employees and a guide in achieving the goals of the AT! SPMS.

Aside from the specific Division/Training Center targets indicated in the ATI scorecard, the management may also set special targets when the need arises. It is the PMT's responsibility to ensure that any special targets are aligned with the ATI's thrusts.

B. Performance Monitoring and Coaching.
In between the planning and completion of a rating cycle, performance is monitored at different levels as follows:
   a. The overall agency performance through Organizational Unit implementation of their commitments, by the ATI Director through the assistance of the ATI-PPD; and
   b. The individual performance, by the Division Chief or Center Director through his/her Assistant Chief (SG 22) and Section Chiefs (SG 18);

This is done at prescribed timelines indicated in the ATI SPMS Calendar (Annex 4). Monitoring and evaluation tools patterned after CSC templates are provided to capture the achievement or failure to achieve targets (Annex 5-7). Supervisors play a critical role at this stage. They can provide an enabling environment, introduce interventions to improve team performance and develop individual potentials.

Appropriate actions such as coaching and mentoring are undertaken whenever and wherever deemed necessary.

Monitoring
Individual monitoring may be done through meetings, one-on-one discussions, memorandum and review of pertinent documents such as reports and issuance of communications to ensure timely completion and quality execution of deliverables. The supervisors shall maintain a journal to record critical incidents noted if any. Monitoring is also done to prevent any problematic incident or address

constraints and challenges. Aside from the CSC prescribed monitoring tools, minutes of meetings, request for actions, or monthly individual accomplishment reports may be used in monitoring the employees' performance.

Coaching
This is intended to empower and help individual employees direct and monitor their own work or assignments and to facilitate the learning and development of the employees. This gives employees the opportunity and responsibility to make their own choices and allow their creativity and spirit to see through the completion of their work.

Employees who obtained Unsatisfactory performance rating for one rating period shall be provided appropriate developmental intervention/s by the division chief/center director concerned not later than one (1) month after the end of the said rating period and shall be given written notice/advice that a succeeding Unsatisfactory performance rating shall warrant his/her separation from the service. If after advice and provision of developmental intervention, the employee still obtains unsatisfactory ratings in the immediately succeeding rating period, he/she shall be dropped from the rolls. Written advice from the head of the office at least three months before the end of the rating period is required.

On the other hand, employees who obtained Poor performance shall be notified in writing at least three (3) months before the end of the rating period and shall be provided appropriate developmental intervention/s by the division chief/center director, in coordination with the HRM Office, to address competency-related gaps. A written notice shall be issued to the concerned employee that failure to improve his/her performance shall warrant separation from the service.

C. Performance Review and Evaluation. At the end of each rating period, individual as well as office performance is assessed based on their commitments at the beginning of the rating period.

The Office Performance Commitment and Review (OPCR)
Each of ATI's organizational units reflects their semestral commitments or targets in a standard SPMS form called Office Performance Commitment and Review Form. The ATI Scorecard already identifies the regular outputs as well as the prescribed key initiatives and their corresponding success indicators. This serves as a reference for the unit in formulating its OPCR as well as in its division/training center level target setting. In fact, these two should necessarily be consistent with each other or integrated into major function statements. It is however reminded that in accomplishing the OPCR, listing of the organizational unit's scope of work for a given period should not be limited to such MFOs/PAPs/KRAs because they should realistically be complemented with newly identified deliverables as directed by the DA Office of the Secretary or as enunciated by the ATI Director in his/her semestral Policy Directions during the agency's planning sessions.

The Division Performance Commitment and Review (DPCR) From each MFO/PAP will necessarily emanate the Division/Training Center's major responsibilities/ functions or scope of work. Similarly, each responsibility or function has corresponding deliverables or outputs. The ATI Scorecard lists down the outputs following the SMART format. These outputs were identified through various internal consultations regarding the responsibilities and functions per organizational unit, the relevant initiatives per the ATI Corporate Plan (FY 2017-2022) and NESAF Strategic Plan (Operationalizing the Philippine Agriculture and Fisheries Extension Platform: Technical Guidance Notes for Extension Service Providers, their corresponding deliverables or outputs as well as performance indicators.

The following procedures and guidelines enable the organizational unit to fill up the DPCR with great ease:

1. The form is prepared by the Chief/Center Director two times during a rating period. First, at the beginning of the rating period or preferably way ahead of it, he/she translates his/her Division/Training Center's scope of work for an ensuing period into his/her Division/Training Center's Commitments or Contributions to the Agency's performance. He/She uses as reference his/her approved Work and Financial Plan (WFP) for a given year. The DPCR is best accomplished with his/her staff contributing some inputs. After all, the accomplishment of the targets is a team undertaking. By doing so, he/she is also providing a basis by which his/her Division/Training Center's performance is going to be assessed.

2. The first paragraph - the commitment statement - requires the Division Chief/Center Director to identify his/her name, the name of the division/training center which he/she supervises, and the beginning and end months of the specific rating period. This can either be January to June or July to December of a given year. The Division Chief/Center Director indicates his/her name and

position on the space provided and signs above it. He/She specifies the date he/she accomplishes the form.

3. At the beginning of the rating period or ahead of it, the Division Chief/Center Director fills up the following columns: MFOs/PAPs, Success Indicators, Allotted Budget, and the Accountable Staff for both Core and Support Functions.

   a. Division/Training Center MFOs/PAPs: List your Division/Training Center's Major Final Outputs or Programs/ Activities/Projects (MFOs/PAPs) referred to in the ATI Corporate Plan found consistent with your Office's mandate. Watch out for duplication of work with other Offices. Otherwise, there might be a need for proper delineation of responsibilities or scope of work among Offices concerned. (Please refer to Annex 8).

   b. Core/Support Functions: Each office has mandated functions which are directly linked with its KRAs. These should constitute 70-80 percent of its workload for a given period. These are called the core functions. The remaining percentage of workload represents work assignments that do not directly or necessarily relate to the mandate of the office but are intervening tasks that maybe assigned to the Division from time to time or occasionally. They can include inter-Office or matrix duties or concerns that do not necessarily relate to the Office's key functions. These are called support functions. In no case should an Office devote more than 30 percent of its workload for support functions.

   To standardize functional statements, start with the specific MFOs/PAPs the division is expected to accomplish by the end of the semester. To illustrate:

   Trainings on _____conducted
   Monitoring and Evaluation Plan submitted

   c. Success Indicators: The organizational unit's periodic performance is gauged in terms of each of its identified functions (both core and support). Thus, each function should have a corresponding set of success indicators which may be one or more per function. Such an indicator is essentially made up of criteria or standard used to measure performance and a target. To illustrate, Function: Monitors and evaluates the performance of the national extension system Success Indicator: Number of monitoring and evaluation plan submitted for action to the Director's Office 5 days from endorsement.
   d. Accountable Staff: Assign specific staff for each function, making sure to avoid any duplication of work. It is also important to consider the individual staff's responsibilities as prescribed in his/her Position Description Form. Related to this, the staff's position must be carefully considered in terms of the level of work assigned, that is, the nature and relevance of task assignments as well as the amount of responsibility and authority best suited for the position level.
   e. Allotted Budget: Estimate the required funds to meet the target. This is best done by a function. This item is the basis for the organizational unit's efficiency rating.

4. At the end of the rating period, the Division Chief/Center Director now fills out his/her Office's actual accomplishment by function. Any problem arising from the non-accomplishment of targets requires an explanation which is indicated under Remarks. Explanations for accomplishments exceeding 130 percent or below 50 percent should likewise be indicated in this column.

5. The designated staff from the Policy and Planning Division (PPD) computes the rating for (1) quality, and (2) efficiency based on quantity and timeliness, resulting from periodic monitoring reports. Quality is measured by the degree to which objectives are achieved as intended and the extent to which issues are addressed with a certain degree of excellence. There are many approaches to calculating efficiency. One apt for ATI organizational units are in terms of fund utilization (OPCR-level), that is, actually reported expenditure divided by the allotted budget or fund obligation (DPCR-level). The basis will be results of periodic monitoring reports from both the AT! Budget Office and the PPD. Efficiency also involves measuring the timeliness terms of delivery of the output within the committed timeline reflected in the WFP. This is validated by periodic monitoring reports. The computations are now translated into the ATI Rating Scale based on the CSC SPMS Guidelines.

   Total Overall Rating, Average Rating, and Adjectival Rating shall be accomplished by the assigned PPD staff.

   All of Item 5, shall be done temporarily (in pencil) and finalized only after a dialogue or validation session between the ratee (that is, the Division Chief or the Center Director) and the PPD. Evidence

such as monitoring reports on physical and financial accomplishments shall be made available during the dialogue to facilitate the validation process

Unexplained accomplishments beyond 130 percent or below 50 percent should be adequately defended and accompanied with tangible evidence. These shall be provided by the Division Chief/Center Director.

After finally validating accomplishments and computing ratings, the PPD staff initials below the name of the PPD Chief who signs the portion Assessed by, and notes the date.

6. The designated PMT meets to review and confirm the results of the organizational units' ratings. The PMT Chair indicates his/her name, signs the DPCR and notes the date of signing to indicate clearance of the DPCR rating.

7. The DPCR is submitted to the ATI Director for confirmation of the organizational unit's performance rating. The Director indicates the date of signing.

8. A copy of the DPCR is submitted to appropriate entities.

Source:
Retrieved from ATI Quality Management Systems Documents (Guidelines)