

GUIDELINES FOR THE 2020 SYSTEM OF RANKING OF DELIVERY UNITS OF THE PAROLE AND PROBATION ADMINISTRATION

1. Purpose

This ranking system shall guide the implementation of the Performance-Based Bonus (PBB), a component of the Performance-Based Incentive System (PBIS) that links rewards to the delivery of outputs and outcomes at the level of the organizational units and personnel in the Parole and Probation Administration (DOJ-PPA) for FY 2020.

2. General Guidelines

2.1. The PBB ranking shall cover DOJ-PPA personnel (all officials and employees) holding regular plantilla positions and have rendered at least nine (9) months of actual service. Those with at least three (3) months of actual service due to acceptable reasons shall be entitled to prorated payout pursuant to AO 25 Inter-Agency Task Force (IATF) Memorandum Circular No. 2020-1 dated June 02, 2020.

2.2. For the rating and ranking of delivery units, there will be two types of delivery units of DOJ-PPA: Cluster I - Regional Offices; and, Cluster II – Central Office Divisions. The rating of delivery units shall be based on the rating form prepared by the Agency Performance Management Team (PMT) for the Regional Offices and Central Office Divisions.

3. Eligibility Criteria

Each delivery unit must satisfy the following conditions to be eligible for the grant of PBB

3.1 Good Governance Conditions (GGCs). Satisfy 100% of GGCs for FY 2020 as provided in Section 4.0 of Guidelines on the Grant of the Performance-Based Bonus (PBB) for FY 2020 (MC 2020-1, dated June 02, 2020).

3.2 Performance Targets of Agencies. Achieve each one of the Physical Targets, Support to Operations (STO) and General Administration and Support Services (GASS) requirements for FY 2020.

3.2a For national government agencies and GOCCs covered by DBM, achieve the streamlining requirements of government services, achieve higher citizen/client satisfaction, and achieve fiscal discipline. The details of the requirements are indicated in Section 5.0 hereof;

3.3 Performance Rating System to be Used for Personnel in the First and Second Levels, and for Career Executive Service (CES) positions. Use the CSC-approved Strategic Performance Management System (SPMS) in rating the performance of the First and Second Level officials and employees of departments/agencies in NGAs, GOCCs and LGUs, including officials holding managerial or Director positions but are not Presidential appointees. The rating of performance of Career Executive Service (CES) positions shall be based on the guidelines issued by the Career Executive Service Board (CESB)

4.0 GOOD GOVERNANCE CONDITIONS (GGCs)

4.1 The following GGCs are set based on performance drivers of the Results-Based Performance Management System (RBPMS) and the priorities of the Duterte Administration for: 1) heightened transparency; 2) stronger public accountability; and 3) more inclusive and people-centered public services:

4.1 a Maintain/Update the agency Transparency Seal (TS) pursuant to Section 106 of the General Provisions of the FY 2019 General Appropriation Act (GAA). The TS page should be accessible by clicking the TS logo on the home page. Status of compliance shall be posted both in DAP website through <https://www.dap.edu.ph/rbpms> and DBM website at www.dbm.gov.ph/index.php/news-update/transparency-seal-compliance See Annex 2: Guideline on Transparency Seal for full details of requirements.

4.1.b Update the PhilGEPS posting of all Invitations to Bids and awarded contracts pursuant to the Government Procurement Reform Act (RA No. 9184) for transactions above 1 million from January to December 31, 2020, including Early Procurement of FY 20121 Non-Common Use Supplies and Equipment (Non-CSE) items. Agencies should track their status of compliance through the PhilGEPS microsite: <https://data.philgeps.gov.ph/pbbwebapp.aspx>. See Annex 6: Guideline on PhilGEPS Posting.

4.1.c Maintain/Update the Citizen's or Service Charter or its equivalent, reflecting the agency's enhanced service standards for all its government services to citizens, businesses, and government agencies, consistent with the objectives of RA No. 11032 and the President's directive to reduce processing time of all public transactions with government and ensure accessible and convenient delivery of services to the public.

Department/Agencies shall submit their respective Certificates of Compliance (CoC) based on the format prescribed by the Anti-Red Tape ("Authority") on or before **December 04, 2020** through the AO25 Secretariat. The Authority shall conduct a validation of the Citizen's or Service Charter or its equivalent starting January 2020.

5.0 FY 2020 PERFORMANCE TARGETS

5.1 Streamlining and Process Improvement of the Agency's Critical Services covering all Government-to-Citizens (G2C), Government-to-Businesses (G2B), and Government-to-Government (G2G) transactions as declared in the agency's Citizen's/Service Charter. To promote the periodic measurement of agency performance in delivering said services, agencies shall determine and report the following streamlining criteria using Annex 3A Modified Form A-Department/Agency Performance Report.

The Agency shall submit supporting documents such as flow charts, legal bases, additional documents, etc. to show actual improvements, and proof of streamlining accomplishments. In the event the department/agency is unable to achieve the targets they set in this section, they shall provide justifications, explanations, and supporting documents using the remarks. The acceptance of explanation shall be subject to the review and recommendation of the validating agency.

5.2 Citizen/Client Satisfaction. To determine the effectiveness of the streamlining and process improvements initiated by agencies, the satisfaction level of the citizen/clients will be measured and reported. Department/agencies should embed feedback mechanisms and citizen/client satisfaction measurement in their process improvement efforts. Using the FY 2019 and 2020 improvement action plans that agencies reported for FY 2018 PBB, for each service, agencies shall report the results of each action plan and the FY 2019 Citizen/Client Satisfaction Survey for each service.

Departments/agencies shall report the following information using Annex 4: Guide for Conducting Satisfaction Surveys:

1. Data Gathering Methods
2. Respondent Criteria
3. Survey Sampling Coverage
4. Sampling Procedure
5. Survey Instrument / Questionnaire
 - a. Responsiveness
 - b. Reliability (Quality)
 - c. Access and Facilities
 - d. Communication
 - e. Costs
 - f. Integrity
 - g. Assurance
 - h. Outcome

5.3 STO Target. Initial Certification/Recertification of the agency's Quality Management System (QMS) covering at least one (1) core process or frontline service as mandated under its existing pertinent laws.

The ISO 9001:2015 certification(s)/recertification(s) must be valid as of ***December 31, 2020 and must be posted in the agency TS website not later than December 31, 2020.***

A certified true copy of the QMS certificate shall be submitted to the Government Quality Management Committee (GQMC), through its DBM Secretariat-System and Productivity Improvement Bureau, not later than December 31, 2020 for validation purposes.

5.4 GASS Targets. The common GASS targets shall include the following:

5.4a Budget Utilization Rate (BUR), which shall consist of:

1. **Obligation BUR** is computed as obligation rates for Maintenance and Other Operating Expenses (MOOE) and Capital Outlays (CO) of all programs, activities and projects funded in FY 2020 from all appropriation sources, including those released under the 2019 General Appropriation Act as the Allotment Order policy, net of savings from procurement and implementation of cost-cutting measures.

2. **Disbursement BUR** is measured as the ration of total disbursements (cash and non-cash, excluding PS) to total obligations for MOOE and CO from FY 2020 appropriations, net of goods and services obligated by December 31, 2019 but executed and paid only in 2020. The objective is to measure the disbursements and obligations for

MOOE and CO for the 2020 appropriations.

5.4b **Sustained Compliance with Audit Findings.** Fully implement 30% of the prior year's audit recommendations as shown in the Report of Status of Implementations of Prior Year's Recommendations. These recommendations will exclude the Property, Plant and Equipment (PPE)-related items of the Annual Audit Report (AAR). Audit findings closed since FY 2018 should also not recur. The objectives is to improve the agency's internal control processes, enhance operational effectiveness, and eliminate, resolve and remedy most, if not all, of the agency audit findings, by the end of 2020.

5.4 c **Submission of Annual Procurement Plan (APP-non CSE)** approved by the Head of Procuring Entity (HOPE) to the Government Procurement Policy Board (GPPB) in the format prescribed under GPPB Circular No. 07-2015.

1) **FY 2020 APP-non CSE** should have been submitted to the GPPB-TSO on **March 31, 2020**. The same should be posted on the agency TS page on not later than one month after the issuance of this Circular.

5.4 d **Submission of FY 2021 Annual Procurement Plan-Common-Use Supplies and Equipment (FY 2020 APP-CSE)** to the DBM-Procurement Service on or before **December 15, 2020 in the prescribed format by DBM-PS. The same shall be posted on the agency TS webpage not later than December 15, 2020.**

5.4 e **Undertaking of Early Procurement for at least 50% of the value of goods and services based on the department's/agency's budget submitted to the Congress consistent with the NEP.** In implementing the cash budgeting system, departments/agencies should subject at least 50% of their budget for works, goods and services requirements to be submission of the NEP to Congress. Departments/Agencies should update their PhilGEPS posting for Early Procurement by posting the Approved Contract and Notice to Proceed in PhilGEPS on or before **January 31, 2021**. The GPPB shall soon be issuing a Budget Circular on this.

To support Early Procurement, the Indicative FY 2021 APP-non CSE consistent with the FY 2021 National Expenditure Program (NEP) should be posted on the agency TS not later than **September 30, 2020**.

5.4 f **Submission of results of FY 2019 Agency Procurement Compliance and Performance Indicators (APCPI) System**, per GPPB Resolution No. 39-2017, complete with the following forms: (1) APCPI – Self-Assessment Form; (2) APCPI –Consolidated Procurement Monitoring Report; (3) APCPI – Procurement Capacity Development Action Plan; and the Questionnaire on or before **June 30, 2020**. The APCPI Tool may be downloaded from the GPPB website using this link: <http://www.gppb.gov.ph/apcpi.html>. Submit either in electronic Excel) format through apcci@gppb.gov.ph indicating: “2019 APCPI Initial Results of <Complete Name of Head Office/Agency> for PBB” in the subject line; or printed (signed) copies hand carried/mailed through the GPPB-TSO front desk. The list of agencies complying with the ACPCI requirement shall be posted in the GPPB website (www.gppb.gov.ph).

5.5 **Other cross-cutting requirements.** The AO 25 IATF sets the following cross-cutting requirements:

5.5a Establishment and Conduct of Agency Review and Compliance Procedure of SALN pursuant to Section 10 of the Code of Conduct and Ethical Standards for Public Officials and Employees (RA No. 6713), and CSC Resolution Nos. 1300455 and 1500088. Each department/agency shall have a SALN Review and Compliance Committee to implement the provisions on reviewing and complying with SLAN requirements to determine whether said statement have been submitted on time, are complete, and are in proper form.

Agency heads should ensure that officials and employees covered by RA No. 6713 submitted their 2019 SALN to the respective SALN repository agencies, as prescribed in

the rules provided under CSC Memorandum Circular No. 3 s. 2015. The Agency review and Compliance Procedure of SALN used by the department's/agency's employees. The scanned copy of the same shall be uploaded in the agency TS webpage not later than October 01, 2020. See also Section 6.11, 6.14 and 10.3 on SALN requirement.

5.5 b Comply with the Freedom of Information (FOI) Program pursuant to Executive Order No. 2, s. 2016, based on the enhanced requirements of the Presidential Communications Operations Office (PCOO). Agencies should comply to the following FOI requirements within the set deadline:

1) The Updated People's FOI manual (including new designated list of FOI Receiving Office/rs and its contact details, if any) duly signed by the Head of the Agency and uploaded in the agency TS page on or before **January 29, 2021**;

2) The FOI Reports (Agency Information Inventory, 2020 FOI Registry, and 2020 FOI Summary Report) uploaded in th agency TS page on or before **January 29, 2021**;

3) A screenshot of the agency website's home page containing a visible and functional FOI logo linked to the electronic FOI portal (www.foi.gov.ph) submitted through email: foi.pco@gmail.com on or before **January 29, 2021**.

4) Modified One-Page FOI Manual (including FOI Receiving Officers/and its contact details and the step-by-step procedure of FOI Request in standard paper-based and electronic format) uploaded in the agency TS page on or before January 29, 2021. For reference, please see FOI MC No. 1, s.2020 at www.foi.gov.ph/resources

5.6 To reinforce fairness in the assessment of the performance of each delivery unit under operations with those under support services, departments/agencies should also declare non-frontline services provided to units/employees performed by the latter delivery units. Doing so will strengthen the accountability of every delivery unit in streamlining and improving their processes and services to citizens/clients, internal units/employees, and to the Composite Team from AAO25 IATF agencies. Likewise, it will also provide performance data to support the equitable ranking of each delivery unit. Departments/Agencies shall also report applicable baseline information enumerated in Section 5.1 and 5.2

6.0 Eligibility of Individuals

6.1 Employees belonging to the First and Second Levels should receive a rating of at least "Satisfactory" based on the agency's CSC-approved Strategic Performance Management System (SPMS).

6.2 Third Level Officials should receive a rating of at least "Satisfactory" under the CESPES. CESPES covers all incumbents of CES positions for an uninterrupted period of at least three (3) months. Payment of the PBB to Third Level Officials shall be contingent on the release of results of the CESPES.

6.3 Personnel on detail to another government agency for six (6) months or more 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 mother agency.

6.4 Personnel who transferred from one government agency to another agency 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.

6.5 An employee who has rendered a minimum of nine (9) months of service during the fiscal year with at least Satisfactory rating may be eligible to the full grant of the PBB.

6.6 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 for 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%

7. Ranking Process

7.1 Units to be ranked – The respective delivery units shall be ranked in two clusters as follows:

7.1.1 Cluster I – Regional Offices

- (1) Cordillera Administrative Region
- (2) Region I
- (3) Region II
- (4) Region III
- (5) Region IV-A
- (6) Region IV-B
- (7) Region V
- (8) Region VI
- (9) Region VII
- (10) Region VIII
- (11) Region IX
- (12) Region X
- (13) Region XI
- (14) Region XII
- (15) Region XIII
- (16) NCR

7.1.2 Cluster II – Central Office Divisions

- (1) Office of the Administrator / Deputy Administrator's Office
- (2) Administrative Division
- (3) Case Management and Records Division
- (4) Community Services Division
- (5) Financial and Management Division
- (6) Legal Division
- (7) Planning Division
- (1) Technical Services Division

7.2 Rating of Delivery Units

7.2.1 For purposes of computing the rating of each delivery unit in Cluster I, the total average score in all performance (Operations) and general administration and support (GASS) indicators shall be determined.

7.2.2 In the computation of the average rating for GASS, the following scale shall be used:

Score	Percentage
5	100%
4	80%
3	60%
2	40%
1	20%

7.3. Central Office Divisions

7.3.1 The Central Office Divisions shall be ranked on the basis of the following:

PARTICULAR	Percentile
OPCR Overall Rating	70
Administrative Functions	30
TOTAL	100

7.3.2 Administrative Functions shall be rated based on the following indicators:

INDICATOR	Equivalent Point Score for EFFICIENCY	Equivalent Point Score for TIME
WFP and PPMP	5	5
SALN	5	5
MRAU	5	5
Liquidation	5	5

7.3.3 for Scoring TIME:

- If document is submitted before the specified deadline, the score shall be 5.
- If the document is submitted on the specified deadline, the score shall be 3.
- If the document is submitted after the specified deadline, the score shall be 1.
- For MRAU, the equivalent point score for time shall be the average score based on the monthly submissions
- For Liquidation, the equivalent point score for time shall be the average score based on all the liquidation reports submitted.

7.3.4 Scale for Scoring EFFICIENCY:

- If the number of submitted reports over the required number of reports is 100%, the score shall be 5.
- If the number of submitted reports over the required number of reports is 75% to 99%, the score shall be 3
- If the number of submitted reports over the required number of reports is 74% and below, the score shall be 1

8.0 Ranking of Delivery Units

8.1 All delivery units in Cluster I shall be ranked based on the total score obtained for their respective performance accomplishment rate for Operations and GASS indicators and targets

All delivery units in Cluster II shall be ranked based on the total score obtained from their performance accomplishment ratings for OPCR and Administrative Function indicators .

9.0 Appeals and Complaints

9.1 To the extent possible, the Regional Performance Management Team (PMT) and Central Office PMT shall resolve concerns on delivery unit rating at their level.

9.2 Should an appeal not be resolved within the unit level, the delivery unit that is aggrieved or dissatisfied with its rating can file an appeal with the Agency PMT within three (3) working days from date of receipt of notice of their Regional/Central Office PMT –recommended performance evaluation rating. A delivery unit shall not be allowed to protest the performance rating of other delivery units.

9.3 Ratings obtained by other units can be viewed by the aggrieved party to serve as basis or reference for comparison in appealing one's own performance rating, provided this is cleared with the PMT Chair.

9.4 The PMT shall render a decision within one month upon receipt of appeal or complaint and submit its recommendation to the Administrator for approval.