



DILG- REGION V
**QUALITY
PROCEDURE (QP)**

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QP-R05-FAD-26		
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PROCEDURE TITLE	MONITORING THE IMPLEMENTATION OF STRATEGIC PERFORMANCE MANAGEMENT SYSTEM
SCOPE	The process covers the four 4-stages of SPMS Cycle: 1) Performance Planning and Commitment 2) Performance Monitoring and Coaching 3) Performance Review and Evaluation and 4) Performance Rewarding and Development Planning
PURPOSE	To ensure the submission of the officials and employees of their targets and accomplishments following the guidelines set in the Strategic Performance Management System (SPMS)

PROCESS DESCRIPTION		
INPUT	PROCESS	OUTPUT
Individual Employees Immediate supervisors	Monitoring the SPMS Implementation	<div> * Summary of Rating * Matrix of Submission </div> HRMD, CO

DESCRIPTIVE STATEMENT:

For the preparation of the Targets/Commitments: The Planning Unit prepares the OPB of the Region (OPCR) and cascades the targets to the operating units for the preparation of the DPCR which in turn becomes the basis for the formulation of IPCR of individual employees. Coaching and mentoring is done by the immediate supervisor in cases where targets are not met. For the accomplishment of targets: Individual employees submit their IPCR for consideration in the preparation of the DPCR of the Division or Cluster to be submitted to the Planning Officers. The Planning Officers (Provincial and Regional) accomplishes the OPCR of each province. Regional Planning Officer consolidates and validates the submitted OPCR in order to accomplish the Regional OPCR for approval of the Regional Director.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
A. PERFORMANCE PLANNING AND COMMITMENT				
	OPCR			
1	Planning Officer	OPCR Preparation and Cascading of Targets	Prepare OPB Targets using the SPMS Form 1: OPCR Identify accountable division/field office/; allot budget requirements for every deliverable Submit the accomplished OPCR to Regional Director for signature.	OPB

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Submit signed OPCR to Planning Service. Furnish Personnel Section with signed OPCR. Communicate the Regional OPCR to accountable Division/Field Office/individual through conduct of Performance Planning activity and issuance of Memorandum	
DPCR				
2	Division Chief / Cluster Head/ Program Manager	DPCR Commitment Preparation and Cascading of Targets	Formulate success indicator for OPB Targets using the SPMS Form 2: DPCR Assign accountable /individual for every given deliverable Sign and submit the accomplished DPCR to Planning Officer Planning Officer review DPCR as to submitted OPB. If correct, forward to Regional Director for signature. If incorrect, return the DPCR to Division Chief/City Director / MLGOO for correction RD approves DPCR Send scanned copy approved to concerned Division / Cluster Head/	OPCR

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>Program Manager. Forward original copy to Personnel Section</p> <p>Communicate approved DPCR to staff within the Division/Cluster through conduct of Performance Planning activity and issuance of Memorandum</p>	
IPCR				
3	Individual Personnel	IPCR Commitment Preparation	<p>Using SPMS Form 3: IPCR, formulate/write success indicators/targets for every assigned task as reflected in the approved DPCR of the division/field office</p> <p>Sign and submit accomplished IPCR Commitment Form to Division Chief/ Cluster Head/ Program Manager If correct, sign conforme portion of the form. If incorrect, return the IPCR to concerned subordinate</p> <p>Submit accomplished IPCR Commitment Forms to Personnel Section with corresponding transmittal letter</p>	Approved DPCR
4	Personnel Section	Consolidation, report preparation and submission of OPCR/DPCR/IPCR Commitment Forms	<p>Gather and scan all signed SPMS Forms</p> <p>Store Scanned Copies stored in computer filed in a properly labeled folder</p>	

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>Burn copy of the folder in a CD</p> <p>Forward the signed SPMS Reports and CD with scanned copy to Records Section</p> <p>Records Officer submit the reports and CD to HRMD following standard records management system</p>	
B. PERFORMANCE MONITORING AND COACHING				
1	Division Chiefs/ Cluster Head and Program Managers	Monitoring of Performance	<p>Conduct monitoring of performance of employees under their supervision</p> <p>If there are critical incidents which affect the performance of the functions of the employees, a Critical incident report must be filled up.</p>	<p>SPMS Monitoring Matrix</p> <p>DPCR Monthly monitoring forms</p> <p>Coaching Journal</p> <p>Coaching Report</p> <p>Critical Incident Report</p>
2	Regional/ Provincial Heads	Identify performance gaps	Plan intervention for the performance gaps identified	<p>DPCR Monthly monitoring forms</p> <p>Coaching Journal</p> <p>Coaching Report</p>
C. PERFORMANCE REVIEW AND EVALUATION				
IPCR AND MONTHLY DPCR MONITORING FORMS				
1	Individual Employee	Preparation and Submission of Accomplished IPCR	Employee prepares the accomplished IPCR and submits the same to the immediate supervisor for rating.	<p>IPCR Targets and Commitments</p> <p>Monthly DPCR Monitoring Form</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2	Division Chiefs, Cluster Heads and Program Managers	Review of the IPCR Preparation of DPCR	DCs and Cluster Heads review the submitted accomplished IPCR with the attached Monthly DPCR forms and computes for the rating. Based on the submitted IPCRs of subordinates, the DCs, CHs and PMs prepares for the DPCR of the division/cluster.	Accomplished IPCR and Monthly DPCR Monitoring Forms
3	Performance Management Team (PMT)	Deliberation and validation of rating	Provincial and Regional PMT convenes for the validation of the rating and indicates recommendation	IPCR and DPCR
DPCR				
4	Regional and Provincial Planning Officers	Preparation of OPCR Submission of IPCR, DPCR and Provincial OPCR	Consolidates the submitted DPCRs for the preparation of OPCR Submit the IPCRs to the HRMO and the OPCRs to the Regional Planning Officer for consolidation. Prepares the Regional OPCR for submission to the Assistant Regional Director.	DPCR/ OPCR
OPCR				
5	Assistant Regional Director	Recommendation of Approval	Reviews the prepared OPCR and recommends approval to the Regional Director	OPCR
6	Regional Director	Acts of the OPCR	Signs the Regional OPCR for submission to the Planning Service, Central Office	OPCR
7	Process Owner	Retain records	Update the Process Summary Log Sheet	Process Summary Log Sheet

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information.	Control of Retained Documented Information Procedure (SP-R05-02) Masterlist of Retained Documented Information

Definition of Terms:

- SPMS – Strategic Performance Management System, - is performance evaluation system being used by the department
- OPCR – is the commitment and rating form accomplished by the Provincial and Regional Offices
- DPCR – is the commitment and rating form accomplished by the division and cluster
- IPCR – is the commitment and rating form accomplished by the individual employee

Legal References:

- Department Order 2013- 42 dated June 13, 2013
- CSC MC No. 6 s. 2012 Establishment and Implementation of Agency SPMS

Prepared By	Reviewed By	Approved By
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DILG - REGION V
**QUALITY
OBJECTIVE (QO)**

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OFFICE	FINANCE AND ADMINISTRATIVE DIVISION/ HRMO
QUALITY PROCEDURE TITLE	SPMS -PERFORMANCE PLANNING AND COMMITMENT

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
Monitoring the submission of the SPMS	Timely submission of the SPMS (OPCR, DPCR, IPCR to the HRMO	<p>For commitment/targets:</p> <p>1st sem - not later than February 29</p> <p>2nd sem - on or before August 30</p> <p>For accomplished forms:</p> <p>1st sem - not later than July 30</p> <p>2nd Sem - not later than January 30</p>	<p>Expected date of submission</p> <p>Actual date of submission</p> <p>Expected date of submission - Actual date of submission = Days elapsed</p>	* Semestral	HRMO	<p>Monitoring Log Sheet</p> <p>Logbook</p> <p>Summary of Rating</p> <p>Transmittal</p>

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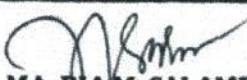

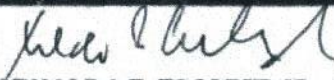


DILG - REGION V
**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

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OFFICE	FINANCE AND ADMINISTRATIVE DIVISION / HRMO			
PROCEDURE TITLE	MONITORING THE IMPLEMENTATION OF SPMS			
OBJECTIVE STATEMENT	Timely submission of the SPMS forms			
CURRENT PERIOD	January to June 2018 ; July to December 2018			
	INDICATORS	FIRST SEMESTER	SECOND SEMESTER	Total
	Objective 1: Timely submission of the SPMS			
A	No. of Personnel who submitted on the deadline			
B	Total No. of personnel			
C	Formula: B/A =	Target Result : 90 %		
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)			

Note: For unmet targets, QMS Secretariat will initiate correction and corrective action using the Corrective Action Report (CAR) duly signed by the Regional Quality Management Representative.

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MONITORING THE IMPLEMENTATION OF SPMS

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QUALITY OBJECTIVE: Timely submission of SPMS forms

COVERED PERIOD: January to June 2018; July to December 2018

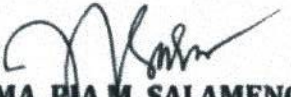
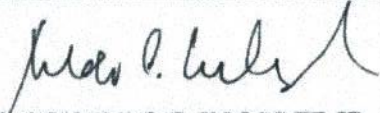
Due Date of Submission: Targets: January 30; June 30 Accomplishments: July 30, January 30

Legend:

No.	SPMS FORMS	SEMESTER		Objective Results			Remarks/Particulars
		Total No. of Personnel	No. of Personnel who submitted on the deadline	Met	Unmet	Remarks, if unmet	
A				F	G	H	I
Targets							
1	OPCR						
2	DPCR						
3	IPCR						
4	Accomplished						
5	IPCR						
6	DPCR						
7	OPCR						
8	Performance Monitoring and Coaching						
9	Coaching Report Form						
10	Critical Incident Report						
11	PDP/IDP						
12	Summary List						

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No.		SEMESTER	Objective Results			Remarks/Particulars	
			Met	Unmet	Remarks, if unmet		
Accomplishments							
13	OPCR						
14	DPCR						
15	IPCR						
16	Accomplished						
17	IPCR						
18	DPCR						
19	OPCR						
20	Performance Monitoring and Coaching						
21	Coaching Report Form						
22	Critical Incident Report						
23	PDP/IDP						
24	Summary List						
Total Result			0	0	0		

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Name of Bureau/Service/Division: **_FINANCE AND ADMINISTRATIVE DIVISION**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Control of Document Procedure									
QP-RO5-FAD-26	Quality Process on the Montioring of SPMS	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
QO-QP-RO5-FAD-26	Quality Objective of the Monitoring of SPMS	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
QME-QP-RO5-FAD-26	Quality Monitoring and Evaluation	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-RO5-FAD-26-01	Summary of Logsheet	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-03	SPMS IPCR	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-04	SPMS Monthly DPCR	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-04	SPMS DPCR	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-01	SPMS OPCR	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
	Coaching Report Form	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-10	Critical Incident Journal	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-16	Individual Development	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-17	Professional Development	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-09	Summary List of Individual Performance Ratings	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-18	SPMS Monitoring Matrix	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-12	Status of Submission	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-17	Consolidated PDP	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
FM-QP-AS-HRMD-04-18	Consolidated IDP	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding

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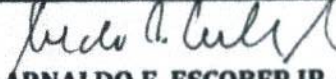
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MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
	Guidelines in the establishment of SPMS	HRMO	HR OFFICE	SPMS	Semestral	5 years	10 years	15 years	Shredding
Process Performance Monitoring and Measurement Procedure									
FM-QP-RO5-FAD-26-01	Summary Logsheet	HRMO	HR Office	LOGSHEET	By period	5 years	10 years	15 years	Shredding
QME-QP-RO5-FAD-26	Quality Monitoring and Evaluation	HRMO	HR Office	QMS	By period				
FM-QP-RO5-FAD-26-01	Process Summary Logsheet								
QP-RO5-FAD-26	Process Quality Monitoring								
Management Review Procedure									
QMS Planning Procedure									

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MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
QP-R05-FAD-26	Monitoring the Implementation of Strategic Performance Management System (SPMS) Quality Procedure						
QO-QP-R05-FAD-26	Monitoring the Implementation of Strategic Performance Management System (SPMS) Quality Objective						
QME-QP-R05-FAD-26	Monitoring the Implementation of Strategic Performance Management System (SPMS) Quality Monitoring and Evaluation						
FM-QP-R05-FAD-26-01	Monitoring the Implementation of Strategic Performance Management System (SPMS) Summary of Logsheet						

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MASTERLIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
	Guidelines in the Establishment of SPMS						
	SPMS Success Indicators						
FM-OP-AS-HRMD-04-03	SPMS IPCR						
FM-OP-AS-HRMD-04-04	SPMS Monthly DPCR Monitoring Form						
FM-OP-AS-HRMD-04-04	SPMS DPCR						
FM-OP-AS-HRMD-04-01	SPMS OPCR						
	Coaching Report Form						
FM-OP-AS-HRMD-04-10	Critical Incident Journal Form						
FM-OP-AS-HRMD-04-16	Individual Development Plan						
FM-OP-AS-HRMD-04-16	Professional Development Plan						
FM-OP-AS-HRMD-04-09	Summary List of Individual Performance Ratings						
FM-OP-AS-HRMD-04-18	SPMS Monitoring Matrix						
FM-OP-AS-HRMD-04-12	Status of Submission						
FM-OP-AS-HRMD-04-17	Consolidated PDP						
FM-OP-AS-HRMD-04-17	Consolidated IDP						
	Guidlines in the establishment of SPMS						

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DILG REGION V
RISK REGISTER (PROCESS RISK ASSESSMENT)

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DIVISION **FINANCE AND ADMINISTRATIVE DIVISION**
PROCEDURE TITLE **MONITORING THE IMPLEMENTATION OF STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (SPMS)**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN / OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
OPCR Preparation and Cascading of Targets	Delay in the Preparation of the OPCR	Late Downloading of the Department AOPB	Late Preparation of OPCR	Early conduct of Planning Activity; Memorandum	2	2	2	NS	Maintain and sustain the existing control	NS
DPCR Commitment Preparation and Cascading of Targets	Delay in the preparation of DPCR	Late Downloading of the OPCR	Late Preparation of DPCR	Early conduct of Planning Activity; Memorandum	2	2	2	NS	Maintain and sustain the existing control	NS
IPCR Commitment Preparation	Late submission of IPCR	Late Downloading of the IPCR	Late Preparation of IPCR	Early conduct of Planning Activity; Memorandum	2	2	2	NS	Maintain and sustain the existing control	NS
Monitoring of Performance	No periodic monitoring conducted	Various activities to attend to	No monitoring conducted	Periodic conduct of cluster/division meeting	2	2	2	NS	Maintain and sustain the existing control	NS
Identify Performance Gaps	Enhancement of KSA not planned	No gaps identified		Conduct of TNA	2	2	2	NS	Maintain and sustain the existing control	NS
Preparation and Submission of Accomplished IPCR	Schedule of PMT Meeting	Various activities to attend to	Late conduct of PMT meeting	Memorandum	2	2	2	NS	Maintain and sustain the existing control	NS
Deliberation and Validation of Rating	Not prioritize	Various activities to attend to	Late conduct of PMT meeting	Memorandum	2	2	2	NS	Maintain and sustain the existing control	NS

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant	No further action required (Maintain and sustain)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant	Alert level (Maintain and sustain the existing)
Risk Rating = Impact X Likelihood X Detection	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer)

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RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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DIVISION FINANCE AND ADMINISTRATIVE DIVISION
PROCEDURE TITLE MONITORING THE IMPLEMENTATION OF STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (SPMS)

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK ASSESSMENT					RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
							IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	
Timely submission of the SPMS (OPCR, DPCR, IPCR to the HRMD.	Compliance to the date of submission	Employees/ Supervisors	Non compliance to the Guidelines	Various activities and PPAs for implementation	Delayed submission of documents	Issuance of Memorandum	2	2	4	NS	Maintain and sustain the existing control	

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant (NS)	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant (NS)	Alert level (Maintain and sustain the existing control)
Risk/Opportunity Rating = Impact X Likelihood	10 - 25	HIGH	Significant (S)	Control (e.g. Avoid or Treat/ Mitigate, Transfer, Terminate)

Prepared by:	Reviewed by:	Approved by:
 MA. PIA M. SALAMEÑO Administrative Officer V Process Owner	 ALFREDO T. SALLAN Chief-FAD Risk Review Committee Head	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director Regional QMR

DILG R5 QMS
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