February 4, 2016

DR. RONALDO A. JUANATAS
Vice President
Technological University of the Philippines
Ayala Blvd., cor. San Marcelino St.,
Ermita, Manila

Dear Vice President Juanatas:

This is to acknowledge receipt of the Strategic Performance Management System (SPMS) of the Technological University of the Philippines (TUP), which was resubmitted for appropriate action.

An evaluation of the TUP SPMS shows its compliance with CSC Memorandum Circular No. 6, s. 2012. Thus, the same is hereby APPROVED for implementation.

We look forward to the successful implementation of the SPMS in that agency.

Very truly yours,

JUDITH A. DONGALLO CHICANO
Director IV

cc: Director II Evelyn Enriquez-Viernes
CSCFO-DPWH
STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (SPMS)
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I. Introduction

A. The Technological University of the Philippines (TUP)

_TUP in the Past: Upholding the Dignity of Labor_

The Technological University of the Philippines was first established as the Manila Trade School (MTS) in 1901 upon the enactment of Act No. 74 by the United States Philippine Commission for the instruction of the Filipinos on useful trades. Originally located near Ateneo de Manila in Intramuros, the MTS transferred to the Exposicion Regional de Filipinos in Calle Padre Faura. Six years later, the MTS transferred to the City Shops in Calle Arroceros. English and Industrial courses including carpentry, telegraphy, machine shop work, furniture making, wood carving, boat building, plumbing, blacksmithing, mechanical and architectural drawing were offered in the primary school level during this period considering that the pupils were already adults. They were studying certain trades which they intended to follow after leaving school.

In 1910, the MTS was renamed as the Philippine School of Arts and Trades (PSAT). It started to offer intermediate grade courses. The primary school level was then phased out because the ages of pupils were younger now than in 1901. With the growing student population at that time, PSAT relocated in 1916 to a 36,000 square meter property as its new campus site under Lot 1 Block 1485 Cad. 13, Manila Cadastre, located in Ermita, Manila bounded on southeast by Calle San Marcelino; on southwest by Estero Balete; northwest by Taft Avenue; and on northeast by Ayala Boulevard. Since then, this became the site of the TUP Main campus.

In 1915, PSAT was authorized to offer a secondary level curriculum. In 1927, it was classified as a full secondary level school. The intermediate grades were completely abolished and new courses, practical electricity and marine engineering, were offered. In 1928, PSAT piloted the first two-year college courses for industrial teachers and skilled workers and, in 1934, it was formally organized. In 1937, PSAT was formally classified as a junior college with two departments: teacher education and technical education. In 1941, the school closed because of the Pacific War of World War II. After the war in 1945, PSAT reopened and accommodated (1949) Dr. Frederick Leasure, the first Fulbright exchange professor and a professor of industrial education. In 1951, PSAT was granted authority to offer a four-year degree leading to BS in Industrial Education. This was a first among schools.

On June 17, 1959, PSAT was converted into the Philippine College of Arts and Trades (PCAT) pursuant to R.A. No. 2237—the PCAT Charter. Under the said Charter, PCAT was mandated to offer courses in arts, industrial education and technology leading to baccalaureate and graduate degrees. This enabled the College to pioneer the offering of a graduate degree program in industrial
education in the second semester of school year 1959-1960. During this period, the tatak “PCAT” became well known throughout the country due to the quality and excellent training and education of the pioneering industrial and technology programs being offered for the Filipinos.

After 19 years, PCAT was elevated and converted into what is now known as the Technological University of the Philippines (TUP) by virtue of Presidential Decree No. 1518 on June 11, 1978. The TUP Charter mandates that the University shall provide higher and advanced vocational, technical, industrial, technological, and professional education and training in the industries and technology, and practical arts leading to certificates, diplomas and degrees. It shall provide progressive leadership in applied research, developmental studies in technical, industrial and technological fields and production using indigenous materials, effect technology transfer in the countryside; and assist in the development of small and medium scale industries in identified growthcenters. (Sec. 2, PD 1518).

**TUP Expands into National Polytechnic System**

When the National Government established projects pursuant to Presidential Decree No. 6-A, three (3) prototype technician institutes in the Philippines were established and funded under the Credit Agreement 349 PH with the World Bank, namely: Manila Technician Institute (MTI) at Taguig, Metro Manila (1977), Visayas Technician Institute (VTI) at Talisay, Negros Occidental (1977) and Iligan Institute of Technology (IIT) at Iligan City, and ten (10) Regional Manpower Training Centers of the National Manpower and Youth Council (NMYC now TESDA) in various parts of the country. With the urgent need to integrate all programs and activities of the said state-supported institutions and in the advent of the conversion of PCAT to TUP to provide leadership in the education and manpower potential in vocational, technical, industrial, technological, and professional skills through technological program of education, Former President Ferdinand E. Marcos issued Letter of Implementation (LOI) No. 79 on December 28, 1978 establishing a National Polytechnic System on Technical/Technician Education through the integration of all state-supported institutions in the Philippines.

LOI 79 provides that the National Polytechnic System shall be organized and established with the Technological University of the Philippines (TUP) as the apex of the system, and the three (3) prototype technician institutes, the ten (10) Regional Manpower Training Centers, as well as all other state-supported institutions engaged in similar program as component of the system. The MTI and VTI shall be maintained and operated under the administration and supervision of TUP. However, with respect to IIT which shall be administratively under the Mindanao State University (MSU), TUP shall only exercise functional supervision over its
technical/technician programs for purposes of coordination and effective operation of the system. This arrangement did not materialize because of IIT’s full integration into the MSU System. In the case of MTI and VTI, their lands, buildings, facilities, equipment, appropriations and qualified personnel were effectively transferred to TUP. And in 1985, the TUP Board of Regents officially renamed MTI and VTI as TUP Taguig and TUP Visayas, respectively.

In 1981, the University expanded when the Board of Regents established the TUP Cavite Campus in Barangay Salitran IV, Dasmarinas City, Cavite and has operated since 1982 to date. This campus was opened to cater to the needs for technology education of the people in the CALABARZON area.

In 2012, the TUP Extension Campus in Lopez, Quezon, a consortium between TUP Main Campus and the Municipality of Lopez started its operation.

The Leaders Behind the Years of Excellence in Technology Education

Ronald P. Gleason was the first principal (1901-1904) of the trade school; J.J. Eaton was the first superintendent (1905-1906); and Gregorio J. Sevilla was the first Filipino Superintendent (1936-1939). Prof. Jose S. Roldan became the first president of PCAT (1959-1961) and Prof. Apolinario G. Apilado succeeded him as the second president (1962-1967).

Dr. Jose R. Vergara was the third president of PCAT and the first president of TUP (1968-1988). He was succeeded by Dr. Frederick So. Pada, the second president of TUP (1988-2000). Dr. Bernardo F. Adiviso served as the third president (Aug. 1-16, 2000) followed by Dr. Fedeserio C. Camarao who became the fourth and centennial president (March 28, 2001-March 27, 2005). Dr. Godofredo E. Gallega was the fifth president (October 10, 2005-October 9, 2009) while Dr. Olympio V. Caparas was the sixth TUP president (October 16, 2009 to October 17, 2013). Dr. Adora S. Pili is the seventh and the first woman TUP President (April 14, 2014 – April 15, 2018).

B. Vision, Mission, Goals, and Key Strategies

Vision

The Technological University of the Philippines shall be the premiere state university with recognized excellence in engineering and technology education at par with leading universities in the ASEAN region.
**Mission**

TUP charter PD 1518, Section 2 mandates that,

“The University shall provide higher and advanced vocational, technical, industrial, technological, and professional education and training in the industries and technology, and practical arts leading to certificates, diplomas, and degrees.

It shall provide progressive leadership in applied research, developmental studies in technical, industrial and technological fields and production using indigenous materials; effect technology transfers in the countryside; and assist in the development of small and medium scale industries in identified growth-centers.”

**Goals**

The programs, activities, and projects (PAPs) identified in the operational plan set by the management of the TUP system in consultation with the employees are based on the University Strategic Plan. The realization of the vision of the University depends on translating these plans into efficient, effective, and resolute strategic management at all levels of the University supported by the core values of true TUPIANS: **T**ransparency, **U**nity, **P**rofessionalism, **I**ntegrity, **A**ccountability, **N**ationalism and **S**hared Responsibility.

The overarching goal of the University as the oldest industrial school in the country, since 1901, is the development of manpower for industrial and engineering fields, and for the enrichment of their supervisory and managerial skills. This would be achieved through instructional, research and extension programs, and implementation of government policies on higher education.

The University Strategic Goals 2015-2020 are stated as follows:

- Quality and responsive curricular offerings;
- Excellence in engineering and technology research;
- Leadership in community services;
- Strengthening capability and competence;
- Modernized University systems and efficient management of resources to support expansion;
- Increased financial viability; and
- Enhanced network and sustained collaboration initiatives.

The University goals and targets are identified and detailed in the University Strategic Plan and Operational Plan.
Figure 1 presents the University Strategic Plan 2015-2020 Framework.
II. The TUP Strategic Performance Management System

The TUP SPMS was prepared to address the mandate of the Civil Service Commission through CSC Memorandum No. 6, series of 2012. This system is expected to contribute to greater productivity and accountability of every employee of the University. It was designed to link individual performance vis-à-vis the University’s vision, mission, and strategic goals.

It is a framework which consists of strategies, methods and tools to ensure effective execution of the functions of the various offices and their staff as well as the assessment of their performance. In addition, it is a mechanism that ensures the attainment of every employee in particular and the University in general, of the objectives set forth in its strategic and operational plans.

The TUP SPMS follows the four-stage PMS cycle: performance planning and commitment, performance monitoring and coaching, performance review and evaluation, performance rewarding and development planning.

To complement and support the TUP SPMS, the following enabling mechanisms shall be maintained, made operational, and updated:

 Merit system that governs recruitment, selection, and promotion of faculty members and administrative staff;
 Recruitment system that identifies competencies and other attributes required for particular jobs or functional groups;
 Mentoring and coaching program;
 Grant of incentives such as PRAISE;
 Management Information System that supports project documentation, knowledge management, monitoring and evaluation, and reports generation;
 Change management program; and
 Policy review and formulation.

A. Objectives

The main objective of the TUP SPMS is to align individual performance of every TUP employee with the University’s vision, mission, and strategic goals.

Specifically, it shall:
 Align the University performance with the Philippine Development Plan, the University Strategic and Operational Plans, and the Organizational Performance Indicator Framework;
 Ensure the effectiveness of the University and productivity of every employee by cascading institutional accountabilities to the various levels of the organization anchored on the establishment of rational and factual bases for performance targets and measures; and
 Link performance management with other HR systems and ensure adherence to the principle of performance-based tenure and incentive system.
B. Scope and Coverage

The TUP SPMS applies to all faculty members regardless of their employment status and administrative employees in the Technological University of the Philippines, including those on casual or contractual status.

C. Basic Elements

This TUP SPMS includes six basic elements, namely: Alignment of Goals, Targets and Performance Indicators to TUP Mission, Goals, and Key Priorities; Outputs/Outcomes- Based; Team-Approach to Performance Management; User-friendly; Management Information System Supported Monitoring and Evaluation; and Communication Plan.

1. **Alignment of Goals, Targets and Performance Indicators to TUP Mandate and Organizational Priorities.** This TUP SPMS aligns individual and office performance with University goals. It emphasizes the alignment of University goals, targets and performance indicators to the national development plans; TUP mandate, vision, mission and strategic plan; organizational performance indicator framework and other organizational priorities such as SUC levelling, normative funding requirements, performance-based incentives, Higher Education Roadmap, ASEAN Requirements, Citizen’s Charter under RA 9485 or the Anti-Red Tape Act, RA 6713, academic workload policy, omnibus law requirements, stakeholder’s feedback, future trends, benchmarking reports among others.

These goals and targets are identified in detail in the University Strategic and Operational Plans.

2. **Outputs/Outcomes-Based.** The TUP SPMS puts premium on major final outputs (MFOs) and performance indicators that contribute to the realization of University vision, mission, strategic goals, target priorities, outputs and outcomes. Identified MFOs of the University include operation; support to operation (STO); and general administration and support (GASS). Operation includes higher education services, advanced education services, research services and extension services. The Table of MFOs for STO and GASS as well as performance indicators is shown in Annex A.

3. **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 division/unit/office work plan or commitment and rating form to establish clear linkage between organizational performance and personnel performance.

This team-approach to performance management was indicated in the Cascading of University Mandate/Strategic Priorities/OPIF to Sector, Division, Departments/Units and Individual Commitments to Sectors (Annex B).
4. **User-Friendly.** The forms used for both the University and individual performance are similar and easy to accomplish. The University 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 University and individual performance ratings.

Forms used for TUP SPMS include the following:

- Sector Performance Commitment and Review Form (SPCR), Annex C
- Division Performance Commitment and Review Form (DPCR), Annex D
- Head Performance Commitment and Review Form (HPCR), Annex E
- Individual Performance Commitment and Review Form (IPCR), Annex F

5. **Management Information System Supported Monitoring and Evaluation.** Monitoring and Evaluation mechanisms and Information System are vital components of the SPMS. This is to facilitate linkage between University and employee performance.

   A vital tool of management at this stage is an information system to be maintained and supervised by the University Information Technology Center through its Management Information System Unit that will support data management to produce timely, accurate and reliable information for performance monitoring/tracking, accomplishment reporting, program improvement, and policy decision-making.

6. **Communication Plan.** A program to orient agency officials and employees on the new and revised policies on SPMS shall be implemented. This is to promote awareness and interest on the system, generate employees’ appreciation for the TUP 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 University performance targets.

Communication plan includes, but not limited to the following mechanisms:

- orientation seminars on the TUP SPMS;
- planning/consultation session to be conducted by sector heads at the start of performance evaluation period to discuss sector, division, and unit targets, performance indicators and baseline data;
- establishment of monitoring board for every sector, division, and unit for easy monitoring and evaluation;
- consultation, validation, monitoring and evaluation by the PMT;
- coaching, mentoring, and performance evaluation by sector, division, and unit heads;
- performance review;
- publications in brochure and website publications; and
- bulletin of information.
D. Key Players and Responsibilities

The following are the key players in the implementation of the TUP SPMS and their corresponding responsibilities:

1. **SPMS Champion.** The responsibilities of the SPMS champion include the following:
   - Together with the Performance Management Team (PMT), the SPMS Champion is responsible and accountable for the establishment and implementation of the SPMS.
   - Sets the University performance goals/objectives and performance measures.
   - Determines target setting period.
   - Approves office performance commitment and rating.
   - Assesses performance of offices.
   - Sends notices, through the Human Resource Management Office, to employees for their unsatisfactory or poor performance for a particular rating period.

2. **Performance Management Team (PMT).** The PMT of the University will be composed of the following:

   a. Vice President for Administration and Finance as Chairperson
   b. Vice President for Planning/Highest Planning Officer or the career service employee directly responsible for organizational planning as co-Chair
   c. Highest Finance Officer or the career service employee directly responsible for financial management as Member
   d. Highest Human Resource Management Officer or the career service employee directly responsible for human resource management as Member
   e. President of the CSC accredited employee association/union in the University or his/her authorized representative as Member
   f. President of the CSC accredited faculty association/union in the University or his/her authorized representative as Member

At the campus level, the PMT shall, whenever applicable, be composed of the following:

   a. Campus Director as Chairperson
   b. Assistant Director for Administration and Finance
   c. Highest officer in charge of human resource management
   d. Highest officer in charge of financial management
   e. Highest officer in charge of planning
   f. President of the CSC accredited employee association/union in the University or his/her authorized representative as Member
The PMT shall have the following functions and responsibilities:

- Sets consultation meeting of all Heads of Offices and Sectors for the purpose of discussing the targets set in the office performance commitment and rating system and tools;
- Ensures that office performance targets and measures, as well as the budget are aligned with the office performance targets of the University and that work distribution of offices/units is rationalized;
- Calibrates and recommends approval of the office performance commitment and rating to the University President;
- Acts as appeals body and final arbiter for performance management issues;
- Identifies potential top performers and provide inputs to the Program on Awards and Incentives for Service Excellence (PRAISE) Committee for grant of awards and incentives; and,
- 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.

3. **The Planning Office shall serve as the PMT Secretariat.**

For its responsibilities, the Planning Office shall:

- Monitor submission of Office Performance Commitment and Review Form and schedule the review/evaluation of Office Commitments by the PMT before the start of a performance period;
- Consolidate, review, validate and evaluate the initial performance assessment of the heads of offices based on reported office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be the basis of PMT’s recommendation to the University who shall determine the final office rating;
- Conduct and facilitate the Annual Presentation of Accomplishments and Action Plan (APAARP) discussing the office assessment for the preceding performance period and plans for the succeeding rating period with heads of offices participated in by the accounting and budget offices for budget utilization; and,
- Provide each office with the final office assessment to serve as basis of offices in the assessment of individual employee.

4. **Human Resource Management Office.** It shall:

- Monitor submission of Individual Performance Commitment and Rating (IPCR) Form by heads of offices.
Review 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 Head of Agency.

Provide analytical data on retention, skill/competency gaps, and talent development plans that are aligned with strategic plans.

Coordinate developmental interventions that will form part of the HR Plan.

5. **Sector Head (University President, Vice Presidents and Campus Directors).** Each shall:

- Assume joint responsibility with Directors, Deans, and Heads of Units for performance management in his/her office.
- Conduct separate strategic planning session with the supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization and submit the Office Performance Commitment and Review Form to the Planning Office.
- Review and approve employee’s Individual Performance Commitment and Review (IPCR) form for submission to the HRM Office before the start of the performance period.
- Submit a quarterly accomplishment report to the Planning Office based on the PMS calendar\(^1\) (Annex D).
- Do initial assessment of office’s performance using the approved Sector Performance Commitment and Review (SPCR) form.
- Determine final assessment of performance level of the individual employees in his/her office based on proof of performance.
- Inform employees of the final rating and identify necessary interventions to employees based on the assessment of developmental needs.

  - Recommend and discuss a development plan with the subordinates who obtained **Unsatisfactory** performance during the rating period not later than one (1) month after the end of the said period and prepare written notice/advice to subordinates that a succeeding Unsatisfactory performance shall warrant their separation from the service.

  - Provide 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 concerned subordinate and a written notice shall be issued stating that failure to improve their performance shall warrant their separation from the service.

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\(^1\) The timetable for the preparation, review and approval of performance targets, standards, and ratings.
6. Heads of Division (Directors, Deans) and Heads of Units and Departments. Each shall:

- Assume joint responsibility with the Sector Head in ensuring attainment of performance objectives and targets;
- Rationalize distribution of targets/tasks;
- Monitor closely the status of the performance of their subordinates and provide support and assistance through the conduct of coaching for the attainment of targets set by the sector, division, unit, department, and individual employee;
- Assess individual employee’s performance;
- Recommend developmental intervention; and
- Submit semi-annual office accomplishment to the Planning Office through the sector head concerned.

7. Individual Employees. Each employee shall:

- Act as a partner of the University management and co-faculty members/co-employees in meeting organizational performance goals and targets;
- Perform the tasks and functions assigned to him/her in the attainment of the unit’s or department’s targets and MFOs of the University.

II. The TUP SPMS Process

A. The TUP SPMS Cycle

The TUP SPMS followed the four-stage performance management system cycle that underscores the importance of performance management, namely: performance planning and commitment, performance monitoring and coaching, performance review and evaluation, and performance rewarding and development planning.

![Figure 2. The Four-Stage Performance Management System Cycle](image-url)
**Stage 1: Performance Planning and Commitment**

Performance planning and commitment stage is done at the start of the performance period where Sector Head meets with the heads of divisions/units as well as staff under his/her sector and agree on the outputs that should be accomplished by his/her sector based on the goals and targets of the University.

At the end of this stage, every employee of the University must have:
1. understood the Vision, Mission, Goals, Targets, and Key Priorities of the University as stipulated in the University Strategic Plan and Operational Plan;
2. understood the MFOs that the University is mandated to deliver;
3. identified the performance indicators and baseline data of each MFO;
4. identified the performance goals of his/her sector
5. identified the performance goals of the division/unit under each sector
6. identified the performance goal of the individuals under each division/unit.
7. contributed in the development of the performance commitment and review of sectors, divisions and units;

**Major Final Output**

Major final outputs (MFOs) refer to the goods and services that the University is mandated to deliver to external clients through the implementation of programs, activities, and projects (PAPs). The MFOs of the University are as follows:

1. **Operation**
   - MFO 1. Higher Education Services
   - MFO 2. Advanced Education Services
   - MFO 3. Research Services
   - MFO 4. Extension Services

2. **Support to Operation**

3. **General Administration and Support**

Support to Operation (STO) refers to activities that provide technical and substantive support to operations. By themselves, these activities do not produce the MFOs but they contribute or enhance the delivery of goods and services. Examples of STO include program monitoring and evaluation, public information programs, statistical services and information systems development.

General Administration and Support Services (GASS), on the other hand, refers to activities that deal with the provision of overall administrative management support to the entire agency operation. Examples are human resource development and financial services.
Performance Indicators

Performance indicators are performance level yardsticks consisting of performance measures and performance targets. This shall serve as bases in the office and individual employees’ preparation of their performance contract and rating form.

Performance indicators (Annexes E, F and G) are those that contribute to or support the outcomes that the University aims to achieve. This shall be included in the office performance contract, i.e., measures that are relevant to University’s core functions and strategic priorities. The performance measures must be continuously refined and reviewed and must follow the SMART format: specific, measurable, attainable, realistic, and time-bound.

TUP’s performance indicators, baseline data, and targets should take into account any combination of, or all of the following:

- Philippine Development Plan
- TUP Organizational Performance Indicator Framework (OPIF). OPIF is the main document that details the performance indicator and targets per MFO.
- TUP Strategic Plan
- SUC Levelling Requirements;
- Normative Funding Requirements;
- Performance-Based Incentive System;
- Higher Education Roadmap;
- Association of Southeast Asian Nations (ASEAN) Requirements;
- Citizen’s Charter under RA 9485 or Anti-Red Tape Act;
- RA 6713 or the Code of Ethics and Ethical Standards;
- CHED National Higher Education Research Agenda (NHERA) 2
- Department of Budget and Management (DBM) prescription of at least 25% percent actual teaching hours for faculty members involved in research, extension, production and administration;
- TUP Faculty Workload Policy of 18 units per faculty (aggregate of instruction, research, extension, production and administration);
- Section 5, Rule XVII of the Omnibus Rules Implementing Book V of Executive Order No. 292 and Other Pertinent Civil Service Laws (Omnibus Laws). Government working hours requiring all government officers and employees of not less than eight hours of work a day for five days a week or a total of forty (40) hours per week;
- Accomplishment Reports/Annual Reports (for historical data). The data shall consider past performance;
- Benchmarking Reports. This involves identifying and comparing the best agencies or institutions or University or units within the University with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law;
- Stakeholders’ Feedback Reports. This involves a bottom-up approach where the sector/division/unit sets targets based on the needs of its clients. The sector/division/unit may consult with stakeholders and review the feedback on its services;
- Sector/Division/Unit Annual Action Plans;
- **Top Management Instruction.** The University President may set targets and give special assignments;
- **Future Trends.** Targets may be based on the results of the comparative analysis of the actual performance of the Office with its potential performances; and
- **Other documents that the University/Sector may derive performance indicators and baseline data.**

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

<table>
<thead>
<tr>
<th>Table 1. Performance Indicator Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Category</strong></td>
</tr>
<tr>
<td>Effectiveness/Quality</td>
</tr>
<tr>
<td>Efficiency</td>
</tr>
<tr>
<td>Timeliness</td>
</tr>
</tbody>
</table>

For faculty members, whether on vacation sick leave status or teacher’s leave, their teaching effectiveness shall be assessed by their immediate superior based on the agreed performance commitments against actual accomplishments.

A faculty member with multiple functions (instruction, research, extension, administration or production), shall include in his/her IPCR all relevant performance commitments classified according to his/her functions. Each function shall have specific average weight. All the immediate superiors of the faculty shall evaluate the latter’s IPCR and shall be signatories of the document. The section head under which the faculty spends more time shall compute the overall rating in accordance with the average weight of each function.
Rating Period

All employees whether teaching or non-teaching will have semi-annual target setting period, January to June and July to December.

For example an administrative staff to be evaluated in 2013, his/her target setting period will be as follows:

- January 2013 – June 2013
- July 2013 – December 2013

Performance Goals

In setting targets, sectors/divisions/units shall likewise indicate the detailed budget requirements per expense account to help the University President in ensuring a strategy-driven budget allocation and in measuring cost efficiency.

The sectors/divisions/units 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 sector, division, department/unit performance commitment and review form.

The sector, division, department/unit performance commitment and review form must be submitted to the Planning Office which consolidates reviews, validates, and evaluates the alignment of performance indicators and targets. The result of the assessment shall be the basis of PMT’s recommendation for the University President’s or his/her authorized representative’s approval.

The approved sector, division, department/unit performance commitment and review form shall serve as basis for individual performance targets and measures to be prepared in the Individual Employee’s Performance Commitment and Review Form (IPCR).

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 employee’s performance standards shall not be lower than the University’s standards in its approved Office Performance Commitment and Review form.

Stage 2: Performance Monitoring and Coaching

During the performance monitoring and coaching phase, the performance of the sectors/divisions/units and every individual shall be regularly monitored at various levels: that is, the University President, Planning Office, Head of Sector, Division Head, Unit Head and individual, on a regular basis.
Monitoring and evaluation mechanisms should be in place to ensure that timely and appropriate steps can be taken to keep a program on track and to ensure that its goals and targets are met in the most effective manner.

Also as a very vital tool of management at this stage will be an information system supervised by the University Information Technology Center through its Management Information System Unit that will support data management to produce timely, accurate, and reliable information for program tracking and performance monitoring/reporting.

However, every sector, division, unit and employee should maintain a file copy of OPCR and IPCR, the monitoring and coaching journal (Annex R), tracking tool for monitoring target (Annex W) and the performance monitoring form (Annex S) for use both by the supervisor and the employee concerned.

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 stage 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 sector, division, department/unit performance commitment and review form based on reported sector, division, department/unit 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 University President. The University President shall determine the final rating of offices/units.

An Annual Performance Review shall be conducted by the Planning Office for the purpose of discussing the Office assessment with concerned sector, division, department/unit. This shall include participation of the Finance Office as regards budget utilization. To ensure complete and comprehensive performance review, all sectors, divisions and units shall submit a quarterly accomplishment report to the Planning Office based on the SPMS calendar.
Any issue/ appeal/protest on the Office assessment shall be articulated by the concerned head of office and decided by the agency head during this conference, hence the final rating shall no longer be appealable/contestable after the conference.

The Planning Office shall provide each sector, division, department/unit 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.

  The SPMS puts premium on MFOs towards realization of organizational vision/mission. 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 assessment\(^2\) and critical incidents\(^3\) 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 sector, division or unit.

  The heads of sector, division or unit shall determine the final assessment of performance level of the individual employees in his/her Office based on proof of performance. The final assessment shall correspond to the adjectival description of Outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor.

  The head of sector, division or unit may adopt appropriate mechanism to assist him/her distinguish performance level of individuals, such as but not limited to peer ranking and client feedback.

  The **average** of all individual performance assessments shall not go higher than the collective performance assessment of the Office.

  The head of sector, division or unit shall ensure that the employee is notified of his/her final performance assessment and the Summary List of Individual Ratings.
with the attached IPCRs are submitted to the Human Resource Management Office within the prescribed period.

**Stage 4: Performance Rewarding and Development Planning**

Part of the individual employee’s evaluation is the competency assessment vis-à-vis the competency requirements of the job. The result of the assessment shall be discussed by the heads of sector, division or unit and supervisors with the individual employee at the end of each rating period. The discussion shall focus on the strengths, competency-related performance gaps, and the opportunities to address these gaps, career paths, and alternatives.

The results of the competency assessment shall be treated independently of the performance rating of the employee.

Appropriate developmental interventions shall be made available by the Heads of sector, division, department/unit and supervisors in coordination with the Human Resource Management Office.

An employee development plan to improve or correct performance of employees with Unsatisfactory and Poor performance ratings must be outlined, including timeliness, and monitored to measure progress.

The results of the performance evaluation/assessment shall serve as inputs to the:

a. Heads of sectors/divisions/units in identifying and providing the kinds of interventions needed, based on the developmental needs identified;

b. Human Resource Management Office in consolidating and coordinating developmental interventions that will form part of the HR Plan and the basis for rewards and incentives;

c. PMT in identifying potential PRAISE Awards nominees for various awards categories; and,

d. PRAISE Committee in determining top performers of the Agency who qualify for awards and incentives.

**B. Rating Scale**

A five-point rating scale (1 to 5), 5 being the highest and 1, the lowest shall be used.

Table 2 on the following page(s) presents the TUP SPMS rating scale.
### Table 2. TUP SPMS Rating Scale for all Levels of Performance

#### Efficiency/Quantity

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Numerical</strong></td>
<td><strong>Adjectival</strong></td>
</tr>
<tr>
<td>5</td>
<td>Outstanding</td>
</tr>
<tr>
<td>4</td>
<td>Very Satisfactory</td>
</tr>
<tr>
<td>3</td>
<td>Satisfactory</td>
</tr>
<tr>
<td>2</td>
<td>Unsatisfactory</td>
</tr>
<tr>
<td>1</td>
<td>Poor</td>
</tr>
</tbody>
</table>

#### Timeliness

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Numerical</strong></td>
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<td>Satisfactory</td>
</tr>
<tr>
<td>2</td>
<td>Unsatisfactory</td>
</tr>
<tr>
<td>1</td>
<td>Poor</td>
</tr>
</tbody>
</table>
## Quality and Effectiveness

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description (Any one or all of the assigned description)</th>
</tr>
</thead>
</table>
| **5**  | - Performance exceeded expectations by 30% and above of the planned targets.  
       |   - Performance demonstrated was exceptional in terms of quality, technical skills, creativity and initiative, showing mastery of the task.  
       |   - Accomplishments were made in more than expected but related aspects of the target |
| **4**  | - Performance exceeded expectation by 15% to 29% of the planned targets. |
| **3**  | - Performance met 90% to 114% of the planned targets. However, if it involves deadlines required by law, it should be 100% of the planned targets. |
| **2**  | - Performance only met 51% to 89% of the planned targets and failed to deliver one or more critical aspects of the targets. However, if it involves deadlines required by law, the range of performance should be 51% to 99% of the planned targets. |
| **1**  | - Performance failed to deliver most of the targets by 50% and below |
C. SPMS Implementation

Upon receipt of the approval of the herein TUP SPMS from the Civil Service Commission, the University shall:

a. Constitute a Performance Management Team (PMT).

b. Conduct orientation and reorientation on the new and revised policies on SPMS for all employees. This is to promote awareness and interest on the system, generate employees’ appreciation for the TUP 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.

c. Administer the approved TUP SPMS in accordance with these guidelines/standards.

d. Provide the Civil Service Commission Regional/Field Office concerned with a copy of the Consolidated Individual Performance Review Reports indicating alignment of the collective individual performance rating with the University/Office Performance Rating.

D. Uses of Performance Ratings

a. Security of tenure of those holding permanent appointments is not absolute but is based on performance.

Employees who obtained Unsatisfactory rating for one rating period or exhibited poor performance shall be provided appropriate developmental intervention by the Head of Office and supervisor (Division/Unit Head), in coordination with the HRM Office/Personnel Office, to address competency-related performance gaps.

If after advice and provision of developmental intervention, the employee still obtains Unsatisfactory ratings in the immediately succeeding rating period or Poor rating for the immediately succeeding rating period, he/she may be dropped from the rolls. A written notice/advice from the head of office at least 3 months before the end of the rating period is required.

b. The PMT shall validate the Outstanding performance ratings and may recommend concerned employees for performance-based awards. Grant of performance-based incentives shall be based on the final ratings of employees as approved by the Head of Office.

c. Performance ratings shall be used as basis for promotion, training and scholarship grants, and other personnel actions.

Employees with Outstanding and Very Satisfactory performance ratings shall be considered for the above mentioned personnel actions and other related matters.

d. Officials and employees who shall be on official travel, approved leave of absence or training or scholarship programs and who have already met the
required minimum rating period of 90 days shall submit the performance commitment and rating report before they leave the office.

For purposes of performance-based benefits, employees who are on official travel, scholarship or training within a rating period shall use their performance ratings obtained in the immediately preceding rating period.

e. Employees who are on detail or secondment to another office shall be rated in their present or actual office, copy furnished their mother office. The ratings of those who were detailed or seconded to another office during the rating period shall be consolidated in the office, either the mother (plantilla) office or present office, where the employees have spent majority of their time during the rating period.

The TUP SPMS Procedures and Personnel Responsibility Distribution showing the entire process is shown in Annex U. Any enhancement and/or amendment of the TUP SPMS shall be submitted to the CSC for approval.

IV. Miscellaneous Provisions

A. Sanctions

Unless justified and accepted by the PMT, non-submission of the sector, division, department/unit Performance Commitment and Review form to the PMT, and the Individual employee’s Performance Commitment and Review forms to the HRM Office within the specified dates shall be a ground for:

a. Employees’ disqualification for performance-based personnel actions which would require the rating for the given period such as promotion, training or scholarship grants and performance enhancement bonus, if the failure of the submission of the report form is the fault of the employees.

b. An administrative sanction for violation of reasonable office rules and regulations and simple neglect of duty for the supervisors or employees responsible for the delay or non-submission of the office and individual performance commitment and review report.

c. Failure on the part of the Head of sector, division, department/unit to comply with the required notices to their subordinates for their unsatisfactory or poor performance during a rating period shall be a ground for an administrative offense for neglect of duty.

d. Non-submission of agency SPMS to the Civil Service Commission for review/approval shall be a ground for disapproval of promotional appointments issued by concerned agency heads.
**B. Appeals**

a. Office performance assessment as discussed in the performance review conference shall be final and not appealable. Any issue/appeal on the initial performance assessment of an Office shall be discussed and decided during the performance review conference.

b. Individual employees who feel aggrieved or dissatisfied with their final performance ratings can file an appeal with the PMT within ten (10) days from the date of receipt of notice of their final performance evaluation rating from the Head of Office. An office/unit or individual employee, however, shall not be allowed to protest the performance ratings of other office/unit or co-employees. Ratings obtained by other office/unit or employees can only be used as basis or reference for comparison in appealing one’s office or individual performance rating.

c. The PMT shall decide on the appeals within one month from receipt.

Appeals lodged at any PMT shall follow the hierarchical jurisdiction of various PMTs in the University. For example, the decision of the campus PMT is appealable to the University PMT.

d. Officials or employees who are separated from the service on the basis of Unsatisfactory or Poor performance rating can appeal their separation to the CSC or its regional office within 15 days from receipt of the order or notice of separation.
ANNEX A
MAJOR FINAL OUTPUTS PER UNIVERSITY FUNCTION

Major Final Output 1. Higher Education Services

1. Number of weighted full time equivalent students
   a. Pre-Baccalaureate
   b. Baccalaureate
2. Number of graduates
   a. Pre-Baccalaureate
   b. Baccalaureate
3. Weighted number of Graduates
   a. Pre-Baccalaureate
   b. Baccalaureate
4. Gross Graduation Rates per Program
   a. Pre-Baccalaureate
   b. Baccalaureate
5. Percentage of total graduates who are in priority courses
6. Percentage of graduates who finished their academic program according to the prescribed time frame.
7. Full time equivalent Faculty Highest Degree
   a. FTE Faculty with Baccalaureate as Highest degree
   b. FTE Faculty with Master’s as Highest degree
   c. FTE Faculty with Doctorate as Highest degree
   d. % FTE Faculty with Baccalaureate as Highest degree
   e. % FTE Faculty with Master’s as Highest degree
   f. % FTE Faculty with Doctorate as Highest degree
8. Average passing percentage in licensure examinations by the SUC Graduates/National average percentage passing across all disciplines covered by the SUC
9. Percentage of programs accredited at level 1
10. Percentage of programs accredited at level 2
11. Percentage of programs accredited at level 3
12. Percentage of programs accredited at level 4
13. Number of Externally-Funded Merit Scholars
   a. Pre-Baccalaureate
   b. Baccalaureate
   c. Post Baccalaureate
   d. Master’s
   e. Doctorate
**Major Final Output 2. Advanced Education Services**

1. Number of weighted full time equivalent services  
   a. Post Baccalaureate  
   b. Master’s  
   c. Doctorate  
2. Total number of Graduates  
3. Weighted number of graduates  
   a. Master’s  
   b. Doctorate  
4. Gross Graduation Rates per Program  
   a. Masters  
   b. Doctor of Philosophy  
5. Percentage of graduates who are employed within 6 months after graduation  
6. Percentage of students who rate timeliness of education delivery/supervision as good or better  

**Major Final Output 3. Research Services**

1. Number of research studies completed  
2. Percentage of the research projects completed within the original project timeframe  
3. Percentage of research projects completed in the last 3 years  
4. Number of research outputs published  
   a. In refereed International journals  
   b. In other International journals  
   c. In refereed National Journals  
   d. In other National Journals  
   e. In Institutional Journals  
5. Percentage of research outputs published in a recognized journal or submitted for patenting or patented  
6. Number of research outputs disseminated or presented  
   a. In International Fora/Conferences  
   b. In National Fora/Conferences  
7. Number of researchers with track records  
8. Number of copyrights registered  
9. Number of externally-funded research projects  

**Major Final Output 4. Extension Services**

1. Number of persons trained  
   a. technical/vocational  
   b. continuing education for professionals  
   c. others (community work)  
2. Number of person-days trained  
   a. technical/vocational
b. continuing education for professionals
  c. others (community work)
3. Number of persons trained weighted by the length of training
4. Number of persons provided with technical advice
5. Percentage of trainees who rate the training course as good or better
6. Percentage of clients who rate the advisory services as good or better
7. Percentage of requests for training responded to within 3 days of request
8. Percentage of requests for technical advice that are responded to within 3 days
9. Percentage of persons who receive training or advisory services who rate timeliness of services delivery as good or better
10. Planning number of LGUs assisted in development

**Support To Operations (STO)**

1. Percentage of students/personnel who rate non-academic related services as good or better
2. Percentage of faculty and personnel enabled to pursue studies/training

**General Administration And Support Services (GASS)**

1. Percentage of actual utilization of budget inclusive of income on total operating budget
2. Percentage of financial statements and reports/documents submitted to COA, CHED, DBM, and other agencies within mandated time
ANNEX B
Performance Planning and Commitment
(Illustration Showing Cascading of Agency Mandate/Strategic Priorities/OPIF to Sector, Division, Departments, Units and Individual Commitments)

VISION: The Technological University of the Philippines shall be the premiere state university with recognized excellence in engineering and technology education at par with leading universities in the ASEAN region.

MISSION: The University shall provide higher and advanced vocational, technical, industrial, technological, and professional education and training in the industries and technology, and practical arts leading to certificates, diplomas, and degrees.

It shall provide progressive leadership in applied research, developmental studies in technical, industrial and technological fields and production using indigenous materials, effect technology transfer in the countryside; and assist in the development of small and medium scale industries and identified growth-centers.

Office of the University President
Office of the Vice President for Research and Extension
Office of the Vice President for Academic Affairs
Office of the Vice President for Planning, Development and Information System
Office of the Vice President for Administration and Finance
Office of the University Campus Director for TUP Taguig Campus
Office of the University Campus Director for TUP Visayas Campus
Office of the University Campus Director for TUP Cavite Campus

Goal 1 Quality and responsive curricular offerings
Goal 2 Excellence in engineering and technology research
Goal 3 Leadership in community services
Goal 4 Strengthening capability and competence
Goal 5 Modernized university systems and efficient management of resources to support expansion
Goal 6 Increased financial viability
Goal 7 Enhanced network and sustained collaboration initiatives

Office of the University President
| College of Liberal Arts                      | Office of the Head for English Department  |
|                                            | Office of the Head for Social Science Department |
|                                            | Office of the Head for Filipino Department  |
|                                            | Office of the Head for Physical Education Department |
| College of Industrial Technology           | Office of the Head for Electrical Department |
|                                            | Office of the Head for Mechanical Department |
|                                            | Office of the Head for Graphic Arts Department |
|                                            | Office of the Head for Food and Apparel Department |
|                                            | Office of the Head for Electronics Department |
|                                            | Office of the Head for Basic Industrial Technology Department |
|                                            | Office of the Head for Power Plant Department |
|                                            | Office of the Head for Civil Department |
| College of Science                         | Office of the Head for Physics Department |
|                                            | Office of the Head for Math Department |
|                                            | Office of the Head for Chemistry Department |
| College of Architecture and Fine Arts      | Office of the Head for Architecture Department |
|                                            | Office of the Head for Fine Arts Department |
|                                            | Office of the Head for Graphics Technology Department |
| College of Industrial Education            | Office of the Head for Technical Arts Department |
|                                            | Office of the Head for Home Economics Department |
|                                            | Office of the Head for Professional Industrial Education Department |
|                                            | Office of the Head for Student Teaching Department |
| College of Engineering                     | Office of the Head for Civil Engineering Department |
|                                            | Office of the Head for Electronics Engineering Department |
|                                            | Office of the Head for Electrical Engineering Department |
|                                            | Office of the Head for Mechanical Engineering Department |
### Academic Services
- Office of the Head for Office of Student Affairs
- Office of the Head for Registration and Admission
- Office of the Head for Sports and Cultural Development
- Office of the Head for Guidance and Counselling
- Office of the Librarian
- Office of the Head for Industrial relations and Job Placement Department
- Office of the Head for Basic Arts and Sciences Department
- Office of the Head for Architectural Engineering Department
- Office of the Head for Civil Engineering Department
- Office of the Head for Electrical Engineering Department
- Office of the Head for Electronics Engineering Department
- Office of the Head for Mechanical Engineering Department
- Office of the Head for Automotive Engineering Department
- Office of the Head for Computer Engineering Department
- Office of the Head for Electro-mechanical Engineering Department
- Office of the Head for Instrumentation and Control Engineering Department
- Office of the Head for Refrigeration & Aircon Engineering Department

### Research and Extension
- Office of the Head for Research and Development
- Office of the Head for Extension Services

### Administration and Finance
- Office of the Head for Human Resource Management Office
- Office of the Head for Budget
- Office of the Head for Supply and Property
- Office of the Head for Records
- Office of the Head for Medical/Dental
- Office of the Head for Accounting
- Office of the Head for Collection and Disbursement
- Office of the Head for Procurement
- Office of the Head for Maintenance and General Services
Cavite Campus

Campus Director
Office of the Campus Director
Office of the Assistant Director for Academic Affairs
Office of the Assistant Director for Research and Extension
Office of the Assistant Director of Administration and Finance

Research and Extension
Office of the Head for Research Unit
Office of the Head for Extension Unit

Administration and Finance
Office of the Head for Human Resource Management Office
Office of the Head for Budget
Office of the Head for Supply and Property
Office of the Head for Records
Office of the Head for Medical/Dental
Office of the Head for Accounting
Office of the Head for Collection and Disbursement
Office of the Head for Procurement
Office of the Head for Maintenance and General Services

Academic affairs
Office of the Head for Office of Student Affairs
Office of the Head for Registration and Admission
Office of the Head for Sports and Cultural Development
Office of the Head for Guidance and Counselling
Office of the Librarian
Office of the Head for Industrial relations and Job Placement Department
Office of the Head for Engineering Sciences Department
Office of the Head for Liberal Arts Department
Office of the Head for Information Technology Department
Office of the Head for Industrial Education Department
Office of the Head for Mathematics and Sciences Department
Office of the Head for Physical Education Services Department

Employee
ANNEX D

ACCOMPLISHED INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW (IPCR)
1. Percentage of FTE’s in mandated priority programs
2. Average percentage passing in licensure in mandated priority programs
3. Percentage of increase in enrollment
4. Percentage of graduates in mandated priority programs graduated within the prescribed period.
5. Percentage of programs which are accredited at Level 1, 2 & 3
6. Number of scholarship grantees (Pre-baccalaureate and Baccalaureate)
7. Number of new curricular offerings
8. Number of curricular programs reviewed
9. Number of instructional materials developed
10. Number of learning materials acquired
11. Number of academic-related linkages
12. Number of Center of Development/Center of Excellence
13. Number of academic-related policies formulated & approved:
   a. Student-related policies
   b. Faculty & staff-related policies
   c. Instructional policies
   d. Policies on supervision
14. Faculty Profile
   a. Number of faculty with Doctorate as highest degree
   b. Number of faculty with Master’s as highest degree
   c. Number of faculty with baccalaureate as highest degree
   d. Number of trainings and conferences attended by faculty and staff members
      • International
      • National
      • Local
15. Percentage of faculty rated as excellent, very satisfactory, satisfactory and poor for teaching effectiveness as per result of student evaluation.
16. Percentage of written reports submitted on time or before due date relative to the total number of written reports required by relevant internal or external offices/agencies.
ANNEX F

PERFORMANCE INDICATORS FOR RESEARCH SERVICES

1. Number of research outputs presented in regional/national international for a/conferences

2. Number of research outputs published in institutional journals, CHED accredited journals/internationally indexed journals

3. Percentage of research projects completed and completed on schedule

4. Number of research outputs patented/copyrighted

5. Ratio of Research and Development outputs to total number of full time graduate program faculty

6. Significant research performance in terms of research income, graduate programs research and publication

7. Number of policies formulated and approved relevant to research undertakings of the University

8. Number of significant activities organized relevant to the enhancement of research projects/programs in the university

9. Number of faculty/staff researchers given technical assistance

10. Degree of satisfaction of research clientele as per result of evaluation

11. Percentage of written reports submitted on or before due date relative to the total number of written reports required by relevant internal or external offices/agencies
ANNEX G
PERFORMANCE INDICATORS FOR EXTENSION SERVICES

1. Number of person-days trained (man-hour) weighted by length of training
   - technical/vocational
   - continuing education for professionals
   - others

2. Number of community-oriented programs conducted/facilitated

3. Number of IEC materials/technology developed/used

4. Number of beneficiaries served

5. Number of LGUs/communities/other clientele assisted

6. Number of technologies transferred/adopted

7. Number of training and extension activities assessed as very good to excellent/relevant or useful

8. Number of training/extension activities conducted on schedule

9. Number of extension policies formulated and approved

10. Number of significant activities organized relevant to enhancement of extension projects/programs in the University

11. Number of policies formulated and approved relevant to extension undertakings of the University

12. Percentage of written reports submitted on or before due date relative to the total number of written reports required by relevant internal or external offices/agencies
ANNEX H
PERFORMANCE INDICATORS FOR GENERAL ADMINISTRATION AND SUPPORT SERVICES

I. Support to Operations
   A. Student development and welfare support
      1. Number of students provided with guidance and counseling
      2. Number of students provided with career guidance
      3. Number of students provided with admission/registration assistance
      4. Number of students provided assistance relevant to scholastic records.
      5. Number of students who availed of ICT services
         - Internet services
         - Enrollment and registration system
         - Smart Info Board
         - Grades Verification
         - Others
      6. Degree of satisfaction of students in all services provided by academic-support delivery units as per result of “client evaluation”.
      7. Number of student trainings conducted
      8. Number of students who attended trainings (institutional, national and international) with the assistance of the University
      9. Number of significant student events held
     10. Number of academic / skills competition won by the students (national, regional & international)
     11. Number of sports competition won by students (national, regional & international)
     12. Number of students who availed of the different library services
     13. Percentage of students who successfully completed the requirements of On-the-Job Training/Student Teaching within the prescribed period. (locally or abroad)
     14. Number of students provided with medical services
     15. Number of students provided with dental services
   B. Personnel development and welfare support
      1. Number of personnel enabled to pursue studies/training through scholarships or other assistance from the University
      2. Number of personnel provided with financial assistance for emergency needs
      3. Number of personnel provided with medical/dental services
      4. Number of personnel given long service awards or recognition for exemplary performance
      5. Number of personnel given assistance relevant to mandatory salary deductions, retirement claims and other relevant services
6. Number of personnel provided with non-academic related services within the prescribed time (internet access, encoding of students’ grades, telephone services and others)

C. Submission of Reports
   Percentage of written reports submitted on or before due date relative to the total number of written reports required by relevant internal or external offices/agencies.

II. General Administration and Support Services
1. Percentage of internally generated income to total operating budget
2. Number of infrastructure projects accomplished including repair and maintenance funded out of internally generated income
3. Number of policies formulated and approved by BOR relevant to general administration.
Name of Delivery Unit: Planning and Development Office  
Director: Prof. Marilyn M. Ignacio  
Number of Personnel: 4

<table>
<thead>
<tr>
<th>Activity</th>
<th>Mechanisms</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring</td>
<td>June 15, 2015</td>
<td>Causes of the delay of the printing and reproduction of the TUP Annual Report were threshed out and resolved</td>
</tr>
<tr>
<td>Coaching</td>
<td>May 15, 2015</td>
<td>One-in-one with a staff who had a problem in gathering of accomplishment reports of some delivery units in TUP Manila. Better approaches to the problem were discussed.</td>
</tr>
</tbody>
</table>

Conducted by: Prof. Marilyn M. Ignacio  
Noted: PROF. ENRICO R. HILARIO  
Director  
Planning and Development Office  
Date: __________  
Vice-President  
Planning, Development and Information Systems  
Date: __________
## ANNEX J
### PERFORMANCE MONITORING FORM

Name of Employee: ____________________________

<table>
<thead>
<tr>
<th>Task No.</th>
<th>Task Description</th>
<th>Expected Output</th>
<th>Date Assigned</th>
<th>Expected Date to Accomplished</th>
<th>Actual Date Accomplished</th>
<th>Quality of Output*</th>
<th>Overall assessment of output**</th>
<th>Remarks/Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

*Either very impressive, impressive, needs improvement, poor, very poor

** Outstanding, very satisfactory, satisfactory, unsatisfactory, poor

Prepared by:

__________________
Supervisor
ANNEX K
ACCOMPLISHED EMPLOYEES PROFESSIONAL DEVELOPMENT PLAN

Republic of the Philippines

TECHNOLOGICAL UNIVERSITY OF THE PHILIPPINES

EMPLOYEES PROFESSIONAL DEVELOPMENT PLAN
2nd Quarter, 2015

Date: March 30, 2015

<table>
<thead>
<tr>
<th>Target Date</th>
<th>3rd week of May</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review Date</td>
<td>April 3, 2015</td>
</tr>
<tr>
<td>Achieved Date</td>
<td>May 13-14, 2015</td>
</tr>
</tbody>
</table>

Aim
To impress among the TUP administration personnel the importance of teamwork in the production of outputs and the enhancement of individual and organizational performance

Objectives:
After the two-day event, the participants are expected to:
1. be more efficient, motivated and enthusiastic about every phase of their job;
2. improve rapport with one another;
3. be more productive in terms of daily outputs;
4. create a more amiable working environment; and
5. be more united and cooperative in all endeavours undertaken by respective delivery units

Task | Next Step
--- | ---
Team building activity of Administrative Personnel and faculty members with administrative function | Another training will be conducted on Public Accountability and Values Enhancement Seminar (PAVES) as per CSC Announcement No. 40 s. 2013 to level up the TUP personnel’s commitment to good service
Theme: “The power of teamwork for a productive TUP”.
Date: May 13-14, 2015
Venue: La Virginia Hotel & Resort, Mataas Na kahoy, Batangas
Remarks: Please, see attached Program of Activities
### ANNEX L

**PROCEDURES AND PERSONNEL RESPONSIBILITY DISTRIBUTION**

I. **Performance Planning and Commitment**

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>Output</th>
<th>Office/Personnel Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Strategic Planning Session</td>
<td>SPCR, DPCR and HPCR</td>
<td>University President&lt;br&gt;Vice President&lt;br&gt;Campus Directors&lt;br&gt;College Deans&lt;br&gt;Service Directors&lt;br&gt;Department and Unit Heads</td>
</tr>
<tr>
<td>2</td>
<td>Review of office performance targets, measures and budget specified in the SPCR, DPCR and HPCR; schedule PMT meeting to make sure it is aligned with the University Strategic Plan and MFOs of the University</td>
<td>Certification that the SPCR, DPCR and HPCR are aligned with the University Strategic Plan and MFO of the University</td>
<td>Planning Office</td>
</tr>
<tr>
<td>3</td>
<td>Review, calibration and recommendation of SPCR, DPCR and HPCR to the University President</td>
<td>SPCR, DPCR and HPCR for recommendation and approval</td>
<td>PMT</td>
</tr>
<tr>
<td>4</td>
<td>Final review and approval of SPCR, DPCR and HPCR</td>
<td>Approved SPCR, DPCR and HPCR</td>
<td>University President</td>
</tr>
<tr>
<td>5</td>
<td>Distribution of tasks and assignments needed to attain the office performance targets to offices and individual employees</td>
<td>Approved SPCR, DPCR and HPCR</td>
<td>University President&lt;br&gt;Vice President&lt;br&gt;Campus Directors&lt;br&gt;College Deans&lt;br&gt;Service Directors&lt;br&gt;Department and Unit Heads&lt;br&gt;Individual Employees</td>
</tr>
<tr>
<td>6</td>
<td>Agrees on tasks assigned, prepares and submits IPCR to superior</td>
<td>IPCR</td>
<td>Individual Employees</td>
</tr>
<tr>
<td>7</td>
<td>Endorse IPCR and submit copy to Human Resource Management Office</td>
<td>Approved IPCR</td>
<td>University President&lt;br&gt;Vice President&lt;br&gt;Campus Directors&lt;br&gt;College Deans&lt;br&gt;Service Directors&lt;br&gt;Department and Unit Heads</td>
</tr>
</tbody>
</table>
## II. Performance Monitoring and Coaching

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>Output</th>
<th>Office/Personnel Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Preparation of Tracking Tool for Monitoring Targets and Performance of Offices such as monitoring board, bulletin board, etc.</td>
<td>Tracking Tool for Monitoring Targets and Performance of Offices</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads</td>
</tr>
<tr>
<td>2</td>
<td>Monitoring of staff performance, updating subordinates on his/her performance, institutionalizing intervention for slow performers and filling up Performance Monitoring and Coaching Journal (PMCJ) kept by employee</td>
<td>Performance Monitoring and Coaching Journal</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads, Individual Employees</td>
</tr>
<tr>
<td>3</td>
<td>Preparation of Quarterly Accomplishment Report to be submitted to the Planning Office</td>
<td>Quarterly Accomplishment Report</td>
<td>Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads, Individual Employees</td>
</tr>
</tbody>
</table>
## III. Performance Review and Feedback

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>Output</th>
<th>Office/Personnel Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Review of office performance assessment submitted by heads of offices (University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads)</td>
<td>Reviewed office performance assessment</td>
<td>Planning Office</td>
</tr>
<tr>
<td>2</td>
<td>Calibration of office performance assessment of heads of offices as reviewed by the Planning Office and recommendation of final rating</td>
<td>Calibrated office performance assessment with final rating</td>
<td>PMT</td>
</tr>
<tr>
<td>3</td>
<td>Conduct of annual performance review to deliberate the recommendation of the PMT as final rating</td>
<td>Annual Performance Review</td>
<td>Planning Office</td>
</tr>
<tr>
<td>4</td>
<td>Approval/Disapproval of final office rating</td>
<td>Approved/Disapproved Office Rating</td>
<td>University President</td>
</tr>
<tr>
<td>5</td>
<td>Distribution of Copy of Approved Office rating to various units as basis for individual rating</td>
<td></td>
<td>Planning Office</td>
</tr>
<tr>
<td>6</td>
<td>Determination of Individual Rating of employees by indicating in IPCR</td>
<td>IPCR with Rating</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads, Individual Employees</td>
</tr>
<tr>
<td>7</td>
<td>Preparation of Summary list of Individual Rating of his/her subordinates and forward to Human Resource Management</td>
<td>Summary list of Individual Rating</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads</td>
</tr>
<tr>
<td>8</td>
<td>Review of final list of ratings and submission to the University President for approval of the forced ranking of employees’ ratings</td>
<td>Forced Ranking of Employees’ Ratings</td>
<td>Human Resource Management Office, PMT</td>
</tr>
<tr>
<td>9</td>
<td>Approval of the forced ranking of employees’ ratings</td>
<td>Forced Ranking of Employees’ Ratings</td>
<td>University President</td>
</tr>
<tr>
<td>10</td>
<td>Distribution of copies of IPCR to concerned employees</td>
<td>IPCR</td>
<td>Human Resource Management Office</td>
</tr>
</tbody>
</table>
IV. Performance Rewarding and Development Planning

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>Output</th>
<th>Office/Personnel Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Discussion of the result of the performance assessment</td>
<td>Performance Assessment</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads</td>
</tr>
<tr>
<td>2</td>
<td>Consolidation and coordination of appropriate employee development interventions through the HR Plan</td>
<td>HR Plan</td>
<td>Human Resource Management Office</td>
</tr>
<tr>
<td>3</td>
<td>Drawing/outlining of professional development plan to improve or correct performance of employees with Unsatisfactory and Poor Performance rating indicating timeliness and the progress monitored</td>
<td>Professional Development Plan</td>
<td>University President, Vice President, Campus Directors, College Deans, Service Directors, Department and Unit Heads</td>
</tr>
<tr>
<td>4</td>
<td>Identification of potential PRAISE nominees for various awards</td>
<td>PRAISE Nominees</td>
<td>PMT</td>
</tr>
<tr>
<td>5</td>
<td>Determination of top performers of the University who qualify for awards and incentives</td>
<td>List of performers of the University</td>
<td>PRAISE Committee</td>
</tr>
</tbody>
</table>
ANNEX M
SUMMARY LIST OF INDIVIDUAL RATINGS

Name of Office: _________________________

Performance Assessment Period: SY ____________

<table>
<thead>
<tr>
<th>Name</th>
<th>Numerical Rating</th>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Jan-Jun</td>
<td>July-Dec</td>
<td>Average</td>
<td>Adjectival Rating</td>
</tr>
<tr>
<td>1</td>
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</tbody>
</table>

Prepared by: ________________________

Recommending Approval: ________________________

Head ________________________

Vice President ________________________

Approved: ________________________

President ________________________
## ANNEX N
### TRACKING TOOL FOR MONITORING TARGETS

<table>
<thead>
<tr>
<th>Major Final Output/Performance indicator</th>
<th>TASK</th>
<th>ASSIGNED TO</th>
<th>DURATION</th>
<th>TASK STATUS</th>
<th>REMARKS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1\textsuperscript{ST} Week</td>
<td>2\textsuperscript{ND} Week</td>
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</table>

Prepared by: _______________________

Unit Head
## ANNEX O
### TUP SPMS CALENDAR

<table>
<thead>
<tr>
<th>Activity</th>
<th>Submit to</th>
<th>Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Jan</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. Performance Planning and Commitment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sector planning on target outputs</td>
<td>TUP PMT (TPMT)</td>
<td></td>
</tr>
<tr>
<td>PMT review of sector performance commitments (SPCR)</td>
<td>Office of the President (OP)</td>
<td></td>
</tr>
<tr>
<td>OP Approval of SPCRs</td>
<td>Sector Heads</td>
<td></td>
</tr>
<tr>
<td>Sector heads approval of Division Performance Commitments (DPCR)</td>
<td>Division Heads</td>
<td></td>
</tr>
<tr>
<td>Division Heads approval of IPCRs</td>
<td>Individual employee</td>
<td></td>
</tr>
<tr>
<td><strong>2. Performance Monitoring and Coaching</strong></td>
<td></td>
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</tr>
<tr>
<td>Monitoring by:</td>
<td></td>
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<tr>
<td>- VPPDIS/OP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Sector Heads</td>
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<tr>
<td>- Division Heads</td>
<td></td>
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</tr>
<tr>
<td><strong>3. Performance Review and Feedback</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance assessment per sector (DPCRs &amp; IPCRs)</td>
<td>Heads of Delivery Units</td>
<td></td>
</tr>
<tr>
<td>Submission of consolidated DPCR &amp; IPCR ratings</td>
<td>Sector Heads</td>
<td></td>
</tr>
<tr>
<td><strong>4. Performance Rewarding and Development Planning</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Sector Heads to submit performance ranking of delivery units (DPCRs) along with the ranking of individual</td>
<td>TPMT Secretariat (Planning Office)</td>
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<tr>
<td>Performance (IPCRs)</td>
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</tr>
<tr>
<td>• TPMT secretariat to submit validated and consolidated DPCR/IPCR ranking</td>
<td>DPCR Ranking to TPMT/IPCR Ranking to HRD</td>
<td></td>
</tr>
<tr>
<td>• TPMT and HRD to submit consolidated performance rankings</td>
<td>Office of the President</td>
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<tr>
<td>5. Annual Agency Performance Conference</td>
<td></td>
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</table>
ANNEX P
WORKLOAD DISTRIBUTION PERCENTAGE

A. Full-time Teaching

<table>
<thead>
<tr>
<th>Faculty Rank</th>
<th>Teaching</th>
<th>Research and Extension</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructor</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Assistant Professor- Full Professor</td>
<td>70%</td>
<td>30%</td>
</tr>
</tbody>
</table>

B. Faculty with Administrative Function

<table>
<thead>
<tr>
<th>Designation</th>
<th>Teaching</th>
<th>Admin Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head/College Secretary</td>
<td>35%</td>
<td>65%</td>
</tr>
<tr>
<td>Dean/Director</td>
<td>20%</td>
<td>80%</td>
</tr>
<tr>
<td>Vice President/President</td>
<td></td>
<td>100%</td>
</tr>
<tr>
<td>Quasi Teaching Assignment</td>
<td>50%</td>
<td>50%</td>
</tr>
</tbody>
</table>
ANNEX R

COMMUNICATION MATERIALS
ANNEX S

SUMMARY OF TARGETS: OPERATIONAL PLAN 2015