



Republic of the Philippines  
**CAREER EXECUTIVE SERVICE BOARD**

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**GUIDELINES ON THE ENHANCED CAREER  
EXECUTIVE SERVICE PERFORMANCE  
EVALUATION SYSTEM (CESPES)**

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**Resolution No. 1136**

**WHEREAS**, Presidential Decree No. 1 dated September 24, 1972, created the Career Executive Service Board (CESB) to serve as the governing body of the Career Executive Service (CES) and to promulgate rules, standards and procedures on the selection, classification, compensation and career development of members of the CES;

**WHEREAS**, based on the aforementioned law, the CESB, pursuant to Resolution No. 90-06, adopted a Career Executive Service Performance Evaluation System (CESPES) for all Officials in the CES;

**WHEREAS**, the CESB, pursuant to Resolution No. 661 s. 2007, adopted a new set of guidelines as well as a new set of instrument to make it more responsive, systematic and practicable, with the purpose of contributing to the fulfillment of the Board's mandate to form a continuing pool of well-selected and development-oriented career administrators who shall provide competent and faithful service in the CES;

**WHEREAS**, in 2011, an initial review of the current CESPES instrument was done with the purpose of aligning the behavioral competencies with the six CES core competencies for an effective and accountable executive performance;

**WHEREAS**, to achieve full alignment with the Strategic Performance Management System (SPMS) of the Civil Service Commission, the Secretariat enhanced the current CESPES using behavioral competencies, and further simplified the rating scale from seven to five points;

**WHEREAS**, a set of Guidelines/Rules and Regulations for the Enhanced CESPES shall facilitate appreciation of the new instrument and allow for the smooth conduct of the CESPES;

**WHEREFORE**, foregoing premises considered, the Board **RESOLVES**, as it is hereby **RESOLVED**, to adopt the attached Guidelines on the Enhanced Career Executive Service Performance Evaluation System (CESPES).

**APPROVED** this 10<sup>th</sup> day of February 2014 in Quezon City, Philippines.

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*[Signature]*

*[Signature]*

*[Signature]*



**FRANCISCO T. DUQUE III**  
Vice Chairperson

By Authority:

  
**NIEVES L. OSORIO**  
Commissioner

  
**CHARITO R. ELEGIR**  
Member

  
**ANTONIO D. KALAW JR.**  
Member

  
**ANGELITO M. TWAÑO**  
Member

  
**EVANGELINE C. CRUZADO**  
Member

**SUSANA D. VARGAS**  
Member

Attested by:

  
**JAYPEE ABESAMIS**  
Board Secretary III

## **GUIDELINES ON THE ENHANCED CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM (CESPES)**

### **RULE I TITLE**

**Section 1. Title.** These rules shall be known and cited as “Guidelines on the Enhanced Career Executive Service Performance Evaluation System (CESPES).”

### **RULE II PURPOSE AND COMPONENTS OF THE CESPES**

**Section 1. Purpose.** The CESPES shall be the official annual performance evaluation system for members of the Career Executive Service (CES). It shall be used as basis for official personnel actions such as the following:

- a.) Original and promotional appointment to CES ranks;
- b.) Grant of merit-based incentives/benefits, including, but not limited to, performance based-bonus, step increments, awards, and other forms of recognition, including the annual Gawad CES Program; and,
- c.) Career planning and development;

**Section 2. Components.** The CESPES shall have the following components:

- a.) **Accomplishments.** The Ratee’s rating on accomplishments at the end of the year shall be measured based on targets/commitments aligned to the Organizational Strategic Objective.
- b.) **Executive/Managerial Competence.** This refers to an assessment of the Ratee’s executive leadership and managerial competence in the work setting. The assessment shall be determined from scores obtained from different sets of behavioural rating scales accomplished by the Ratee’s Superiors and Subordinates.

The Ratee’s executive/managerial competence shall focus on the six (6) core competencies adopted and prescribed as the fundamental standards for executive performance in various ranks in the CES. The six (6) core competencies are as follows:

- i.) **Strategic and Critical Thinking.-** The ability to obtain information and identify key issues and relationships relevant to achieving a long-range goal or vision; to commit a course of action to accomplish a long-range goal or vision after developing alternatives based on logical assumptions, facts, available resources, constraints, and organizational values.

- ii.) **Leading in a Continuously Changing Environment** - The ability to encourage others to seek opportunities for different and innovative approaches in addressing problems and opportunities, and to facilitate the implementation and acceptance of change within the organization.
- iii.) **Empowering/Developing Others to Establish Collective Accountability for Results** - The ability to develop and promote effective relationships with colleagues and team members and to deal constructively with conflicts. The ability to develop subordinates' skills and competencies by planning effective development activities related to current and future jobs.
- iv.) **Linkaging and Networking for Productive Partnerships** - The ability to develop and strengthen partnerships that can provide information, assistance and support to the organization; to identify and use synergies across the organization with external partners.
- v.) **Planning/Organizing for Greater Impact** - The ability to establish a course of action for self and/or others to accomplish a specific goal; to plan proper assignments of personnel and appropriate allocation of time and other resources.
- vi.) **Driving Performance for Integrity and Service** - The ability to produce and deliver quality results, to be action-oriented and committed to the achievement of the outcomes.

### **RULE III COVERAGE AND RATING PERIOD**

**Section 1. Coverage.** The CESPES shall cover all incumbents of CES positions in various departments and/or agencies of the national government, including government-owned or controlled corporations (GOCCs) with original charters, for an uninterrupted period of at least three (3) months. Division Chiefs and those occupying lower positions shall be covered by the CESPES provided they are:

- a.) Career Executive Service (CES) eligibles or Career Service Executive (CSE) eligibles or Career Executive Officer (CEO) eligibles; and,
- b.) Designated in Acting or Officer-In-Charge (OIC) capacity.

**Section 2. Rating Period.** The rating period, which refers to a twelve (12)-month period covering January to December, shall embody the time frame during which the overall performance of the Ratee shall be the subject and focus of measurement and assessment.

**Section 3. Frequency and Period of Conduct.** The cycle of each CESPES run is one whole year or twelve (12) months covering January 1 to December 31 of each year and shall be implemented simultaneously to all departments/agencies covered by the CES in accordance with the schedule prepared by the CESB.

The CESPES shall be fully completed not later than the last working day of March of the year succeeding the given period. Submissions after the said period shall no longer be received nor entertained by the CESB and shall cause the Ratee to have no CESPES rating for the Rating Period.

## **RULE IV CESPES FORMS**

**Section 1. CESPES Forms.** The CESPES shall be composed of the following instruments:

- a.) Ratee Information Sheet (RIS) (CESPES Form No. 001).
- b.) Performance Commitment and Review Form (PCRF) (Part I of CESPES Form No. 003)
- c.) Rating form for the Subordinator Rater (CESPES Form No. 002)
- d.) Rating Form form for Superior Rater (CESPES Form No. 003)

The CESB shall provide the CESPES Coordinators with electronic copies of the said CESPES forms. They shall provide the Ratee/s with electronic or hard copies, as the case may be, of the CESPES forms.

The CESPES Coordinators shall reproduce hard copies of the rating forms for superior and subordinate raters depending on the total number of raters of all the Ratee/s in the department/agency. They shall assign a control number to each form and countersign the same. Each rater in the department/ agency, whether Superior or Subordinate, shall be given only one (1) rating form with the assigned control number. The CESPES Coordinator shall keep a record of the control number of the rating form assigned to each Rater.

**Section 2. Ratee Information Sheet (RIS).** The RIS is the complete, updated and officially certified list of all raters (i.e., superiors and subordinates) who are qualified and designated to rate each individual Ratee's work performance in a given Rating Period. The RIS should be regularly updated by the CESPES Coordinator of the department/agency.

The RIS shall be officially certified and submitted by the CESPES Coordinator on or before the fourth quarter of the rating period (i.e., October – December of the current year) in preparation for the performance rating in January of the following year.

No Ratee shall be allowed to undertake the CESPES without his/her RIS submitted to and received by the CESB.

**Section 3. Performance Commitment and Review Form (PCRF).** The PCRF is a management and performance appraisal tool that provides a common understanding and agreement about priorities, responsibilities, and performance expectations of individuals, units and organizations. Effective use of this form promotes organizational effectiveness and service delivery by providing opportunity to clarify and communicate

the elements of performance that is valued by the organization and is critical to its stakeholders. It promotes efficiency as it helps the organization to focus its resources on the activities and efforts that matter most to it.

The use of this form provides an objective basis for the periodic evaluation of the performance of the Ratee. It facilitates communication between the Superior-Rater and the Ratee by providing an opportunity to discuss and agree on the performance expectations and results.

It helps improve the performance of the Ratee as it provides a common understanding between him/her and his/her Superior Rater on organizational priorities and expectations. It also enables the Ratee to perform according to these agreed priorities and expectations.

**Section 4. Components of the Performance Commitment and Review Form (PCRF).**  
The PCRF shall consist mainly of the following:

- a.) **Organizational Strategic Objectives** – are broad statements of goals of the organization achievable in the medium term (3-5 years) in order to achieve its mission and vision.
- b.) **Office Performance Objectives** – enumerates the specific area/s of performance that is/are critical in accomplishing the strategic objective/s of the organization. Performance objectives describe the minimum performance expectations of target for a “satisfactory” performance. It includes outputs/outcome/s that the organizational unit consistently monitors and measures in terms of effectiveness, efficiency, productivity, quantity or quality. Each Office Performance Objective may contain one or more Organizational Strategic Objectives.
- c.) **Performance Outcomes** - enumerates the critical results achieved per performance objective. The Superior Rater may be provided with an accomplishment report as a reference document in checking the box whether “achieved, partly achieved and not achieved.”
- d.) **Ratee’s Performance Commitment/s** – refers to the Ratee’s strategy or plan of action that he/she personally commits in order to contribute to the performance objectives. It may include initiatives, efforts, roles or other forms of commitment which the Ratee wish to accomplish to ensure the attainment of the objectives of the organization/unit that he/she handles.
- e.) **Ratee’s Performance Results** - relates to a brief description of the activities and strategies and the roles played in order to achieve the targets.

**RULE V**  
**PARTIES IN THE CESPES CONDUCT**

**Section 1. Raters.** For each CESPES cycle, a Ratee shall have two (2) raters, namely:

- a.) **Superior Rater** - one whom the Ratee directly reports to as his/her immediate superior for at least three (3) months during the calendar year.
- b.) **Subordinate Rater** - one whom the Ratee directly supervises as his/her immediate subordinate for at least three (3) months during the calendar year.

An immediate subordinate who functions as a utility worker, driver or job order contractuels of the Ratee shall not, for purposes of these rules, be considered as a subordinate rater.

**Section 2. Multiple Superior Raters.** In case a Ratee has Multiple Superior Raters, this rule shall apply:

- a.) Pro-rated percentage weights shall be allocated for the performance ratings obtained from each Superior Rater based on the length of the time during which the Ratee is under the direct supervision and control of the specific Rater in the performance of tasks/functions.

**Section 3. Subordinate Raters.** Ratee officials who have 10 subordinates or less shall be rated by all the raters (100%). For officials who have 11 or more, the subordinate raters of each Ratee shall be randomly selected, using a reliable procedure, by the department/agency CESPES Coordinator from the Ratee Information Sheet (RIS). The number of subordinate raters shall be in accordance with the table shown below:

Total Number of Line/Staff Subordinates	Total Sample Size of Chosen Raters
11 – 15	11
16 – 20	12
21 – 25	13
26 – 30	14
31 and above	50%

**RULE VI**  
**THE ROLES AND RESPONSIBILITIES IN THE CESPES**

**Section 1. Administration.** The CESB shall primarily administer the CESPES in coordination with the CESPES Coordinator.



**Section 2. Incumbents of CES Positions.** Each department and/or agency covered by the CES and all its CES officials shall strictly comply with and uphold the policies, rules, guidelines, standards, procedures and mechanisms on the CESPES.

**Section 3. The CESPES Coordinator.** The Human Resource Management and Development Director or the equivalent official heading the unit/service administering and responsible for the CESPES in the department/agency shall be designated as the CESPES Coordinator by the Department Secretary/Head of the Agency concerned. The CESPES Coordinator shall lead all efforts in and be primarily responsible for preparing and capacitating the entire department/agency in the installation, implementation, monitoring and maintenance of the CESPES.

The CESPES Coordinator shall have the following duties and responsibilities:

- a.) To ensure the submission of the Ratee Information Sheet (RIS) by the ratee/s;
- b.) To assist the Superior Raters of the Ratee/s in the accomplishment of the CESPES related forms within the timeframe prescribed in the guidelines;
- c.) To ensure that Subordinate Raters are duly notified and are able to rate their respective Superior Ratee/s within the timeframe prescribed in the guidelines;
- d.) To conduct orientation/briefings, in coordination with the CESB, on the CESPES and other CESB related activities, as may be deemed necessary;
- e.) To monitor CESPES compliance;
- f.) To ensure submission of duly accomplished CESPES forms within the timeframe prescribed in the guidelines; and,
- g.) To ensure the confidentiality of the CESPES forms and such other documents necessary in the CESPES conduct.

## **RULE VII**

### **THE CESPES PERFORMANCE EVALUATION CYCLE AND STAGES**

**Section 1. CESPES Performance Evaluation Cycle.** The CESPES Performance Evaluation Cycle shall be composed of the following stages:

- a.) Performance Planning Stage
- b.) Performance Monitoring Stage
- c.) Performance Review and Feedback Stage
- d.) Performance Evaluation and Development Planning Stage



**Subtitle I**  
**Performance Planning Stage**

**Section 2. Performance Planning Stage.** The Performance Planning Stage shall be undertaken as follows:

- a.) The Ratee and the Superior Rater shall meet anytime within the first quarter (January-March) of the rating period or within the first three (3) months of the assumption of office of the Ratee to determine the latter's performance commitment for the year. Said performance commitment shall be recorded in the Performance Commitment Review Form (PCRF) using Part I.

In determining the Ratee's performance commitment, the following items shall be duly accomplished:

- i.) Organizational Strategic Objectives (Part I letter A)
  - ii.) Office Performance Objectives (Part I letter B)
  - iii.) Ratee's Performance Commitment/s (Part I letter D)
- b.) Upon completion of the performance commitment, the Ratee shall submit the PCRF to the CESPES Coordinator, who shall reproduce it and provide duplicate copies of the PCRF to the Ratee, Rater and for himself/herself.

**Subtitle II**  
**Performance Monitoring Stage**

**Section 3. Performance Monitoring Stage.** The Ratee and the Superior Rater shall meet during the rating period after the portion showing the performance commitment of the PCRF have been duly accomplished to hold regular consultation meetings/dialogues. These meetings shall have the objective of monitoring/tracking the Ratee's performance; studying problems, issues and concerns affecting said performance; and enabling the Superior Rater to provide and discuss analysis, advice, and other forms of assistance through coaching, mentoring and feedback.

Every time and at any given time within the rating period, when at least one (1) performance commitment has to be changed, deleted or added, the revisions/modifications and the corresponding changes shall be discussed and agreed upon by the Ratee and the Superior Rater. Any revisions/modifications in the PCRF within the given rating period shall be made at the frequency of not more than once (1) every three (3) months and not later than the month of September of the rating period. A copy of the Revised PCRF shall be submitted to the CESPES Coordinator, who shall reproduce and provide copies for the Ratee, Rater and for himself/herself.

### **Subtitle III**

#### **Performance Review and Feedback**

**Section 4. Completion of the PCRF.** The completion of the PCRF shall be undertaken as follows:

- a.) The Ratee and the Superior Rater shall meet not later than January or the first month after the rating period purposely to conduct performance review and feedback.
- b.) The Ratee and the Superior Rater shall discuss and come to an agreement on the performance outcome of each of the organizational strategic objective and office performance objective as well as the result of each of the performance commitment of the Ratee. In determining the result of the Ratee's performance commitment, the following shall be duly accomplished:
  - i.) Performance Outcomes (Part I letter C)
  - ii.) Ratee's Performance Results (Part I letter E)
- c.) Upon completion of the PCRF, the Ratee shall submit the same to the CESPES Coordinator, who shall produce and provide duplicate copies of the same for the Rater, Ratee and for himself/herself. The presence of both signatures indicates the conclusion of all reviews and evaluation.

**Section 5. Completion of the Superior and Subordinate Rating Forms.** The completion of these forms shall be undertaken as follows:

- a.) The Superior Rater and a pre-determined number of Subordinate Raters of the Ratee in the department/agency, as indicated and verified in the RIS, shall be identified. They shall rate the Ratee based on the review and evaluation of specific behaviours manifested by the Ratee and actually and personally observed by the Superior Rater and the Subordinate Raters.
- b.) Key behaviours, classified under several dimensions, shall be measured and scored on a scale using the Behavioral Competency Scale (BCS). Depending on the Rater, the BCS form has two variations, namely:
  - i.) Rating Form for Subordinate Rater (refer to CESPES Form No. 002)
  - ii.) Rating Form for Superior Rater (refer to CESPES Form No. 003)
- c.) The Superior and Subordinate Raters may be allowed to evaluate the executive and managerial competence of the Ratee/s using the superior and subordinate rating forms through a workshop where the Raters are gather in one venue to give their respective ratings.

The Raters may be allowed to accomplish the superior and/or subordinate rating forms outside the workshop conducted by the CESPES Coordinators, provided that they officially state a valid reason for not making it during the scheduled CESPES

conduct (e.g. being sick or on Official Business for the duration of the CESPES conduct). In such instances, the duly accomplished superior and/or subordinate rating forms shall be sent to the CESB in a sealed envelope, together with a certification by the CESPES Coordinators that the conduct of the CESPES outside the workshop is in accordance with these guidelines. Absence of the said certification from the CESPES Coordinators shall invalidate the CESPES rating by such rater.

No CESPES performance rating processes, outside of the CESB prescribed period specified herein, shall be conducted without prior approval of the CESB. All requests for the conduct of the special CESPES shall be made in writing and addressed to the CESB, specifying the significant circumstances that would justify the conduct of such.

- d.) The Superior and Subordinate Raters shall be required to indicate their complete names, positions/designations, other required data, and affix their signatures on the superior and/or subordinate rating forms to fully accomplish them. The said rating forms shall be considered invalid without the corresponding signatures of the Raters and/or the data provided therein are incomplete. Substitute Subordinate Raters (i.e., outside of those in the ratee's RIS) shall be absolutely prohibited.

**Section 6. Submission of Accomplished CESPES Forms.** Submission of accomplished CESPES Forms shall be in accordance with the following rules:

- a.) The superior and/or subordinate rating forms shall be accomplished and submitted by the superior and subordinate raters to the CESPES Coordinators under the conditions of strict privacy, full confidentiality and freedom from any or all forms of duress.
- b.) Upon completion of the performance rating process for all the Ratees in the department/agency, the CESPES Coordinator shall collect, organize, document, and secure all the rating forms.
- c.) The CESPES Coordinator is strictly prohibited from viewing the accomplished rating forms of their subordinate raters when he/she is the Ratee.
- d.) Accomplished CESPES forms shall be submitted by the CESPES Coordinators to the CESB for the computation of the performance ratings not later than the last working day of March after the rating period. Submissions after the said period shall neither be received nor entertained by the CESB and shall cause the ratee to have no CESPES rating for the said rating period.

**Section 7. Replacement of Superior and/or Subordinate Raters.** In cases where there are no Superior and/or Subordinate Raters, the following rules shall apply:

- a.) Superior Raters

The Superior who is higher in rank to the immediate superior of the Ratee, and who currently or may have exercised direct or indirect supervision and control over

the ratee in the performance of tasks/ functions, for a certain period of time, shall replace the original superior rater in undertaking and completing the CESPES.

**b.) Subordinate Raters**

In case there are no Subordinate Raters, the superior rating will suffice.

**Subtitle IV  
Performance Evaluation**

**Section 8. Standards and Computation of Scores**

**a.) Weight Allocations.** The weight distribution of the two (2) components of CESPES shall be, as follows:

• Performance	-	80%
• Executive/Managerial Competence	-	<u>20%</u>
Superior rating	50%	
Subordinate rating	50%	
CESPES Rating		100%

**b.) Adjectival Rating Scale.** The CESPES shall have a five-point scale with their corresponding equivalent adjectival rating, to wit:

Outstanding	-	4.20 – 5.00
Very Satisfactory	-	3.40 – 4.19
Satisfactory	-	2.60 – 3.39
Unsatisfactory	-	1.80 – 2.59
Poor	-	1.00 – 1.79

**Section 9. The CESPES Overall Performance Feedback Report.** The CESPES Overall Performance Feedback Report, which is generated by the CESB, shall provide a summary of the ratee's performance ratings. The said report shall contain the following:

a.) Summary of Ratings – indicates the score for the accomplishments; the score for the executive/managerial competence; and the overall CESPES rating, which is the sum of the scores of the accomplishments and the executive/managerial competence.

b.) Adjectival Rating – is the qualitative description of the score based on the scale provided for in the preceding section.

**Section 10. CESPES Records.** A copy of the CESPES report shall be stored and filed by the CESPES Coordinator in the Ratee's 201 file. The original copy of the said report shall be forwarded to the Ratee concerned.

The CESB shall provide the Department Secretary/Head of the Agency with a summary of the performance ratings of the Ratees in the department/agency.

**Section 11. Computation of Incomplete Ratings of a Ratee.** The following rules shall apply in case of incomplete ratings of a Ratee:

- a.) The CESB may allow the computation and evaluation of the CESPES ratings of the Ratees only when the said ratings in question can no longer be obtained due to any or a combination of the following circumstances affecting the source of the ratings:
  - i.) Death;
  - ii.) Retirement;
  - iii.) Resignation;
  - iv.) Approved official leave availed of for a long term;
  - v.) No substitute raters are available from the ratee's RIS; and,
  - vi.) All other reasons that will qualify that the ratings can not be obtained, or that the source of the ratings is impossible to reach within the allowable and reasonable duration of time for the conduct of the CESPES.
- b.) The ratings given by the actual Subordinate Raters shall be provided equal percentage weight allocations.
- c.) For the PC and Superior Rating, the Superior Rater may be replaced by the appropriate substitute, as indicated in Rule VII, Subtitle III, Section 7 of these rules.
- d.) In case of the total absence of raters (i.e., no superior and subordinate raters are available to rate the Ratee), the Ratee shall make an official request in writing addressed to the CESB for an independent evaluation of his/her work performance and managerial competence for the given rating period. The Ratee shall attach to the said request samples of the actual accomplishments, related evidences, and other supporting data to describe and validate the performance targets actually accomplished.

**Section 12. Consecutive Positions in a Rating Period.** In case a Ratee has consecutively occupied more than one CES position of different level and/or of different departments and/or agencies in a given rating period, he/she shall have the corresponding superior and subordinate ratings per position occupied in a given rating period, provided he/she has been in the said position for at least three (3) months.

In the event that a Ratee consecutively occupied more than one CES position of equivalent level in the same department and/or agency in a given rating period, the computation of the superior and/or subordinate ratings shall be pro-rated based on the number of months that the Ratee occupied the said position.

**RULE VIII**  
**REQUESTS, COMPLAINTS, DISPUTES, ANOMALIES**  
**AND IRREGULARITIES IN THE CESPES**

**Section 1. Requests, Complaints, Disputes, Anomalies and Irregularities on the CESPES.** The department/agency shall implement policies, guidelines, rules and regulations at their level to facilitate and support the effective, systematic and proper administration and use of the CESPES. All requests, petitions, complaints, disputes, anomalies and irregularities in the implementation and use of the CESPES shall be referred to, managed, and resolved by the Grievance Committee duly constituted by the department/agency.

**Section 2. Elevation of the Case to the CESB.** After the department/agency's Grievance Committee has decided on the matter, but the Ratee still finds valid and reasonable bases to pursue the same complaint and/or to seek satisfactory resolution of any unresolved issue on the case, he/she may elevate the said case to the CESB.

The Ratee's complaint for CESB's review and resolution of the case must be: 1) officially made in writing and addressed to the CESB within seven (7) calendar days from the Ratee's receipt of the questioned decision; and, 2) accompanied by a certification from the Department/Agency Grievance Committee that the said case has been previously referred to it, with a narration of all actions taken by it and that despite all efforts, it has been unable to arrive at a resolution of the case acceptable to all parties concerned.

**Section 3. Annulment of the CESPES Rating.** The CESB shall have the authority to annul or declare a failure of the CESPES performance rating process undertaken. The annulment of the CESPES shall include, but not be limited, to the following offenses:

**a.) Coercion**

Defined as a pre-meditated, purposive and targeted use of physical and/or moral force such as by threat, intimidation, and/or similar acts of duress to compel individuals or groups (e.g., Superior and/or Subordinate Raters) to think and act according to the will of others (e.g., the Ratee);

**b.) Collusion**

Defined as a conspiracy or agreement by and between individuals and/or groups for an ill-intentioned or deceitful purpose(s), contrary to the purposes, objectives and uses of the CESPES (e.g. predetermined ratings);

**c.) Tampering**

Defined as the willful altering of the CESPES official forms with the objective of manipulating ratings and/or other given data.

**d.) Breach of Confidentiality**

Which shall include, but are not limited to, the following acts:

- i.) Conferring of the Ratee with the Subordinate Raters on matters concerning Ratee's CESPES rating(s) while the Raters are accomplishing the rating forms;
  - ii.) Taking a glimpse of or glancing at the rating forms accomplished by the Subordinate Raters;
  - iii.) Giving undue influence to the Subordinate Raters, in whatever capacity it may be.
- e.) Such other offenses, which are contrary to the purposes, objectives and uses of the CESPES.

Annulment or declaration of failure of the CESPES shall cause the Ratee involved to have no CESPES rating for the rating period, without prejudice to the filing of the appropriate administrative and/or criminal cases against him/her.

**Section 4. Authority of the CESB.** The CESB shall have the power and authority to:

- a.) Investigate, review, deliberate and decide on cases referred to it by the department/agency involving requests, petitions, complaints, disputes, anomalies and/or irregularities with regard to the implementation and use of the CESPES.
- b.) Deputize the department/agency's CESPES Coordinator and/or a representative of the Grievance Committee, or any officer(s) from the concerned department/agency, to conduct investigations and inquiries and to gather, receive and secure evidence, in aid of its review and deliberations.
- c.) File administrative charges against any person and/or group with proven accountability and/or involvement in any anomaly or irregularity.

**Section 5. Promulgation of CESB Decision and Recommendation.** The CESB shall render its decision and recommendation on the said case within a period of sixty (60) official working days, after receipt of the complaint.

## **RULE IX VIOLATIONS**

**Section 1. Violations.** Any violation of any provision in this resolution shall be dealt with in accordance with existing civil service laws, rules and regulations.



**RULE X**  
**FINAL PROVISIONS**

**Section 1. Separability Clause.** If any section or part of this resolution shall be held to be invalid, the remaining provisions shall be given full force and effect as if the part held invalid had not been included therein.

**Section 2. Repealing Clause.** All existing CES rules and regulations, circulars and memoranda inconsistent with this resolution are hereby repealed or amended accordingly.

**Section 3. Effectivity.** This resolution shall take effect fifteen (15) days after publication in a newspaper or general circulation or in the Official Gazette.



## RATEE INFORMATION SHEET

### CESPES CY 2013

NAME: \_\_\_\_\_ RATING PERIOD: \_\_\_\_\_

POSITION: \_\_\_\_\_ AGENCY: \_\_\_\_\_

ADDRESS: \_\_\_\_\_ CONTACT #'s: \_\_\_\_\_

#### IMMEDIATE SUPERIOR/S

NAME	POSITION	SIGNATURE
1) _____	_____	_____
2) _____	_____	_____

#### IMMEDIATE SUBORDINATE/S

NAME	POSITION	SIGNATURE
1) _____	_____	_____
2) _____	_____	_____
3) _____	_____	_____
4) _____	_____	_____
5) _____	_____	_____
6) _____	_____	_____
7) _____	_____	_____
8) _____	_____	_____
9) _____	_____	_____
10) _____	_____	_____

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**CAREER EXECUTIVE SERVICE BOARD**

No. 3 Marcelino St., Holy Spirit Drive, Diliman, Quezon City  
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**CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM**  
**RATING FORM FOR SUBORDINATE RATER**

CESPES FORM NO. 002

*(Please use ballpen or pencil in accomplishing this form)*

OFFICIAL TO BE RATED:	RATING PERIOD:
POSITION DURING THE RATING PERIOD:	
OFFICE/AGENCY/DEPARTMENT:	

**Instruction:** Read each sentence carefully. Kindly shade on the answer that best represents your assessment of the Ratee's behavior relevant to each statement.

<b>STRONGLY AGREE</b>	<b>AGREE</b>	<b>NEUTRAL</b>	<b>DISAGREE</b>	<b>STRONGLY DISAGREE</b>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**STRATEGIC AND CRITICAL THINKING**

THE RATEE:	STRONGLY AGREE	AGREE	NEUTRAL	DISAGREE	STRONGLY DISAGREE
1. Gathers and analyzes information when planning and formulating policy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Adopts a long-term and holistic view in making decisions and solving problems.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Understands the issues and concerns that affect the organization and the delivery of services to its clientele.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Communicates the vision, mission and strategic goal/objective of the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Designs processes that will lead to the accomplishment of organizational goals with responsibility and accountability.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<i>The Ratee takes action and implements a vision for the future development of the organization and/or unit.</i>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**LEADING IN A CONTINUOUSLY CHANGING ENVIRONMENT**

THE RATEE:	STRONGLY AGREE	AGREE	NEUTRAL	DISAGREE	STRONGLY DISAGREE
1. Shows openness to different opinions, changing circumstances and new information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Comes up with new workable solutions to old/recurring problems.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Encourages staff to think and adopt new ways of doing things.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Communicates the need to change and improve performance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Encourages others to question established work processes or assumptions and challenges them to ask "why" until cause is discovered.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Appreciates and encourages new ideas and working methods.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Identifies and enlists the support of key individuals and groups through consultation, persuasion and consensus to promote change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<i>The Ratee has significantly improved the service of the organization through cutting-edge reforms and innovations.</i>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**DEVELOPING/EMPOWERING OTHERS TO ESTABLISH COLLECTIVE ACCOUNTABILITY FOR RESULTS**

THE RATEE:	STRONGLY AGREE	AGREE	NEUTRAL	DISAGREE	STRONGLY DISAGREE
1. Deals with conflict early and seeks to reduce its negative impact on the team / unit/ organization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Identifies and addresses development needs of subordinates	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Recognizes good performance and appreciates people's contribution	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	STRONGLY AGREE	AGREE	NEUTRAL	DISAGREE	STRONGLY DISAGREE
4. Gives feedback and advice to help staff improve performance and be more successful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Delegates responsibilities, clarifies expectations, gives autonomy on important areas of work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Understands the needs and feelings of others.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Respects individual differences and sees it as an opportunity to maximize diversity for the benefit of the organization.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*The Ratee was able to develop his/her people to perform at their best.*

☐ ☐ ☐ ☐ ☐

#### LINKAGING AND NETWORKING FOR PRODUCTIVE PARTNERSHIPS

THE RATEE:

1. Persuades others effectively.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Actively works with other offices to achieve own office goals faster and more economically.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Is attuned, and readily responds, to the needs of partners.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Manages internal and external dynamics that affect the work of its own office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Adopts strategies to establish and continuously strengthen partnerships.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*The Ratee has significantly improved the public service delivery and organizational performance by engaging others to partner and collaborate.*

☐ ☐ ☐ ☐ ☐

#### PLANNING AND ORGANIZING FOR GREATER IMPACT

THE RATEE:

1. Defines priorities and rationalizes the allocation of tasks and resources.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Sets measurable and time-bound targets.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Creates systems and work-flow to help people accomplish targets.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Tracks progress of work to ensure purposive work management.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*The Ratee is able to establish a systematic course of action for one's self and/or others to achieve a specific goal; to plan and implement rational assignments of personnel and appropriately allocate time and other resources*

☐ ☐ ☐ ☐ ☐

#### DRIVING PERFORMANCE FOR INTEGRITY AND SERVICE

THE RATEE:

1. Monitors own/group performance against objectives and takes corrective action.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Acts without being prompted and makes things happen.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Shows a sustained level of effort, persistence and commitment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Deals promptly with employee performance issues and takes disciplinary action when behavior warrants it.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Makes timely and accurate decision.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Takes a systematic approach to solving problems rather than reacting to symptoms.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Sets clear goals for the employees and the work unit.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. Strives for excellence in performance by surpassing established standards.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*The Ratee is implementing programs that are most important to its stakeholders and in achieving the goals of the organization.*

☐ ☐ ☐ ☐ ☐

Subordinate Rater's Signature over Printed Name

Date

Position

**Republic of the Philippines**  
**CAREER EXECUTIVE SERVICE BOARD**

No. 3 Marcelino St., Holy Spirit Drive, Diliman, Quezon City  
Tel. Nos. 951-4981 local 110, 111 & 126; 951-4986 (telefax)

**CAREER EXECUTIVE SERVICE PERFORMANCE EVALUATION SYSTEM**

**RATING FORM FOR SUPERIOR RATER**

CESPES FORM No. 003

(Please use either ballpen or pencil in accomplishing this form)

NAME OF RATEE:	PERFORMANCE YEAR:
POSITION DURING THE RATING PERIOD:	DEPARTMENT/AGENCY:
NAME OF RATER:	POSITION TITLE:

**PART I: PERFORMANCE COMMITMENT AND REVIEW**

PERFORMANCE COMMITMENT		PERFORMANCE REVIEW AND FEEDBACK		
<i>The Ratee and the Superior Rater shall meet at the start of the rating period to determine the performance commitment of the Ratee for the year. The Ratee shall be required to accomplish the following items: (Please provide additional sheets if needed)</i>		<i>The Ratee and the Superior Rater shall meet after the rating period to discuss and agree on the performance outcome and the result of the Ratee's performance commitment.</i>		
<b>A. ORGANIZATIONAL STRATEGIC OBJECTIVE</b> (Broad statements of goals of the organization achievable in the medium term (3-5 years) in order to achieve its mission and vision)	<b>B. OFFICE PERFORMANCE OBJECTIVE</b> (Describes the minimum performance expectation for a "satisfactory" performance. It includes outputs/outcomes that the organizational unit consistently monitors and measures in terms of effectiveness, efficiency, productivity, quantity or quality. There may be more than one (1) performance objective per strategic objective).	<b>C. PERFORMANCE OUTCOME</b> Please check the appropriate box below		
		<i>ACHIEVED</i>	<i>PARTLY ACHIEVED</i>	<i>NOT ACHIEVED</i>
1.	1.			
	2.			
	3.			
2.	1.			
	2.			
	3.			
<b>D. RATEE'S PERFORMANCE COMMITMENT/S:</b> (Strategy or plan of action that the ratee personally commits in order to contribute to the performance objectives. It may include initiatives, efforts, roles or other forms of commitment which the Ratee wish to accomplish to ensure the attainment of the objectives of the organization/unit that he/she handles.)		<b>E. RATEE'S PERFORMANCE RESULT/S:</b> (Brief description of the activities and strategies and the roles played in order to achieve the targets)		
1.		1.		
2.		2.		
3.		3.		
<b>F. PERFORMANCE EVALUATION</b>				
<b>INSTRUCTION:</b> Please <b>shade</b> the appropriate circle that most objectively represents the Ratee's level of performance. When answering within a scale of 1-5, please be guided by the definitions provided below each rating scale.				
<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>OUTSTANDING</b>	<b>VERY SATISFACTORY</b>	<b>SATISFACTORY</b>	<b>UNSATISFACTORY</b>	<b>POOR</b>
The unit/agency accomplishment significantly exceeded the target and the ratee-official has contributed immensely to the unit/agency accomplishments.	The unit/agency has met or modestly exceeded the target and the ratee-official has performed more than what is expected.	The unit/agency has met the target and the ratee-official has performed as expected.	The unit/agency has met the target. However, the ratee-official barely contributed to the accomplishments of the unit/agency	The unit/agency did not meet the target and the ratee-official underperformed in his/her duties or functions.

## PART II. BEHAVIORAL COMPETENCE

Read each sentence carefully. Assess the Ratee's competence in the six (6) Core Competencies. In providing your assessment, please be guided by the description provided below. Kindly shade on the answer that best represents your assessment of the Ratee's behavior.

COMPETENCY ASSESSMENT	CES CORE COMPETENCY
<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 - MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2- LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>STRATEGIC AND CRITICAL THINKING</u></b>  <p>The ability to obtain information and identify key issues and relationships relevant to achieving a long-range goal or vision; to commit a course of action to accomplish a long-range goal or vision after developing alternatives based on logical assumptions, facts, available resources, constraints, and organizational values. The competency requires the manifestation of the following behaviors:</p> <ul style="list-style-type: none"> <li>○ Reads the environment; Collects and analyzes information</li> <li>○ Understands the larger picture</li> <li>○ Formulates objectives and priorities with clear success indicators</li> <li>○ Communicates the vision of the organization</li> </ul>
<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 - MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2- LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>LEADING IN A CONTINUOUSLY CHANGING ENVIRONMENT</u></b>  <p>The ability to encourage others to seek opportunities for different and innovative approaches in addressing challenges and opportunities, and facilitate the implementation and acceptance of change within the organization. The competency requires the manifestation of the following behaviors:</p> <ul style="list-style-type: none"> <li>○ Maintains an open mind to changing circumstances and new information</li> <li>○ Identifies and implements new and better way of accomplishing results</li> <li>○ Manages the change process</li> </ul>
<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 - MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2- LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>DEVELOPING AND EMPOWERING OTHERS TO ESTABLISH COLLECTIVE ACCOUNTABILITY FOR RESULTS</u></b>  <p>The ability to develop and nurture effective relationships with colleagues and team members and to deal constructively with conflicts. The ability to develop subordinates' competencies and enhance performance by planning effective development activities related to current and future jobs.</p> <ul style="list-style-type: none"> <li>○ Sets himself/herself as a positive example to others</li> <li>○ Develops others to perform and contribute to the organization</li> <li>○ Deals with others effectively</li> <li>○ Delegates and makes others accountable for their own action</li> </ul>
<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 - MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2- LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>LINKAGING AND NETWORKING FOR PRODUCTIVE PARTNERSHIPS</u></b>  <p>The ability to create and strengthen partnerships that can provide information, resources, and leverage to the organization; to define and harness synergies across the organization and with external partners. The ability to identify opportunities and perform measures that build strategic relationships between one's area and other areas, teams, units, departments or organizations to achieve goal. The competency requires the manifestation of the following behaviors:</p> <ul style="list-style-type: none"> <li>○ Works cooperatively with others to resolve issues and facilitates dialogue to resolve differences and reach compromises</li> <li>○ Engages others in partnerships and collaborations</li> <li>○ Has a clear understanding of the bureaucracy</li> </ul>

<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 – MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2 – LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>PLANNING AND ORGANIZING FOR GREATER IMPACT</u></b>  The ability to establish a systematic course of action for one's self and/or for others to achieve a specific goal; to plan and implement rational assignments of personnel and appropriate allocation of time and other resources. <ul style="list-style-type: none"> <li>Plans, prioritizes, sets goals and establishes performance standards</li> <li>Develops systems to organize and keep track of performance related information</li> <li>Aligns and manages human, financial and information resources strategically.</li> </ul>
<input type="radio"/> 5 – EXCEPTIONAL <input type="radio"/> 4 – MORE THAN ADEQUATE BUT FALLS SHORT OF BEING EXCEPTIONAL <input type="radio"/> 3 – ADEQUATE <input type="radio"/> 2 – LESS THAN ADEQUATE BUT CAN BE IMPROVED <input type="radio"/> 1 – POOR	<b><u>DRIVING PERFORMANCE FOR INTEGRITY AND SERVICE</u></b>  The ability to produce and deliver quality results, to be action-oriented and committed to achieve outcomes. <ul style="list-style-type: none"> <li>Makes well informed, effective and timely decisions, even when data is limited</li> <li>Identifies root cause of problems and evaluates alternative solutions</li> <li>Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized field of expertise</li> <li>Shows significant level of effort, persistence and commitment to achieve goals</li> </ul>

### PART III. DEVELOPMENT PLANNING

Please identify the developmental area that the Ratee needs to improve on by shading the circle provided below.

COMPETENCY	DEVELOPMENT NEEDS	COMPETENCY	DEVELOPMENT NEEDS
STRATEGIC AND CRITICAL THINKING	<input type="radio"/> Strategic Management <input type="radio"/> National Development Issues and Concerns <input type="radio"/> Policy Appreciation Others (specify): _____	LEADING IN A CONTINUOUSLY CHANGING ENVIRONMENT	<input type="radio"/> Organizational Development Tools and Techniques (Total Quality Management, High Performance Organization, Balance Score Card, Management By Objective, etc) <input type="radio"/> Managing Change Others (specify): _____
DEVELOPING/ EMPOWERING OTHERS	<input type="radio"/> Conflict Management <input type="radio"/> Mentoring and Coaching <input type="radio"/> Talent Management <input type="radio"/> Communication Others (specify): _____	PLANNING AND ORGANIZING FOR GREATER IMPACT	<input type="radio"/> Project/Program Development and Management <input type="radio"/> Financial Management <input type="radio"/> Accountability Others (specify): _____
DRIVING PERFORMANCE FOR INTEGRITY AND SERVICE	<input type="radio"/> Problem Solving and Decision Making <input type="radio"/> Performance Management <input type="radio"/> Communication Others (specify): _____	LINKAGING AND NETWORKING FOR PRODUCTIVE PARTNERSHIPS	<input type="radio"/> Social Marketing <input type="radio"/> Community Development <input type="radio"/> International Linkages and exposure Others (specify): _____

SUPERIOR RATER'S SIGNATURE OVER PRINTED NAME

POSITION:

DATE:

#### CONCURRENCE:

The rating on my performance and behavioral competence as indicated above was discussed with me by my superior.

RATEE'S SIGNATURE OVER PRINTED NAME

POSITION:

DATE: