

Republic of the Philippines Department of Transportation PHILIPPINE RAILWAYS INSTITUTE



PRI Office Order No. 20, series of 2022

Guidelines on the Provision of Support Services to the Philippine Railways Institute by the Administrative and Finance Section, Thereby Repealing PRI Office Order Nos. 1, 2, and 14, s. 2021

WHEREAS, Executive Order (EO) No. 96, series of 2019, otherwise known as "Establishing the Philippine Railways Institute under the Department of Transportation as the Planning, Implementing, and Regulatory Agency for Human Resources Development in the Railways Sector", created the Institute as a research and training center under the Department of Transportation (DOTr);

WHEREAS, Section 1 of the said EO mandated the PRI to serve as the planning, implementing, regulating, and administrative entity for the development of human resources in the railway sector to ensure efficient, reliable, and safe railway transportation services;

WHEREAS, Article VI, Section 40 of the EO's Implementing Rules and Regulations or DOTr Department Order (DO) No. 2020-005 states that the Administrative and Finance Section (AFS) shall develop plans and policies on and ensure the effective management of its human resources, assets and properties, procurement, and storage and distribution of supplies, while adhering to the rules and regulations of relevant government agencies;

WHEREAS, ISO 9001:2015 Standard requires the need to determine and provide the resources needed for the establishment, implementation, maintenance, and continual improvement of the Quality Management System (QMS);

WHEREAS, Office Order No. 13, s. 2021, otherwise known as "An Order Establishing the Quality Management System of the Philippine Railways Institute and Ensuring its Effective Implementation and Continual Improvement", states that support processes of the AFS are performed to ensure that the Institute has adequate resources needed to perform its processes;

WHEREAS, the AFS' support services under Annex B of the same Office Order cover financial management (budget and accounting), material management (logistics and inventory), and human resources management (learning and development intervention, performance management system, and rewards and recognition), while others are considered as externally-provided services;

WHEREAS, the Institute, an office under the administrative supervision of the DOTr, must align its support processes with that of the Department and existing laws, rules, and regulations;

WHEREAS, there is a need to establish the processes and services of the AFS to ensure that the processes are known to the concerned personnel, resources are adequate for

the Institute to effectively implement its mandate, powers, and functions, and that the processes are compliant;

NOW, THEREFORE, I, ANNELI R. LONTOC, Officer-in-Charge - Executive Director (OIC-ED) of the Philippine Railways Institute (PRI), by virtue of the powers vested in me, hereby order that the following rules and procedures be promulgated and adopted:

ARTICLE I Coverage

This Order shall apply to the following personnel:

- a. all AFS personnel responsible for providing support services to the operations of the PRI;
- b. PRI personnel concerned who are designated to provide assistance to the AFS on matters related to its support services through relevant PRI Office Orders; and
- c. all PRI personnel, regardless of status, on the implementation of the Strategic Performance Management System (SPMS).

As such, this Order repeals PRI Office Order Nos. 1, 2, and 14, s. 2021.

ARTICLE II Definition of Terms

Whenever used in this Order, the following terms shall have the respective meanings hereafter set forth:

- a. Administrative and Finance Section also called the AFS, is responsible for the development of plans and policies on, and management of the PRI's human resources, assets and properties, procurement, and storage and distribution of supplies;
- b. Certification and Accreditation Division also called the CAD, is responsible for the issuance of certificates and train drivers' IDs, and the conduct of accreditation and quality audits;
- c. Circular refers to an issuance prescribing policies, rules and regulations, and procedures promulgated pursuant to law, applicable to individuals and organizations outside the Government and designed to supplement provisions of the law or to provide means for carrying them out, including information relating thereto (Book IV, Chapter 11, Section 50 (1) of the Administrative Code of 1987);
- d. Controlled Document document that has been approved, revised and tracked to ensure quality representing the latest issued document bearing the "Controlled Copy" stamp;
- e. Control Number a unique set of letters and numbers, combined together to form the Document Control Number, that is used to identify and track individual copies of controlled documents;

- f. Core Functions refer to those functions performed by the Institute that are inherent to its mandate;
- g. Distribution the process wherein the Document Controller designates the appropriate office/division to handle or keep the documents or other papers;
- h. Divisions refer to the three (3) divisions of the Institute;
- i. Document meaningful data and other information and its supporting medium, i.e., procedure, specification, drawing, report, standard, records, etc. The medium can be paper, electronic, or optical disc photograph, or master sample, or a combination thereof. Also, referred as documented information to be maintained:
- j. Document Controller also called the DC, is the personnel responsible for the management, movement, and storage of all documents and other papers of the Institute;
- k. Documented Information meaningful data that is required to be controlled and maintained by the organization and the medium on which it is contained;
- 1. Document Owner designated owner of an approved document;
- m. Executive Director also called the ED, is the head of the Institute who is in charge of its day-to-day operations;
- n. External Document a document from other government agencies, organizations, or individuals outside of the PRI which shall be used, referenced, or archived;
- o. Form refers to the template that will be filled up by the concerned personnel to be a record.
- p. Institute also called the PRI, is the Philippine Railways Institute established under EO No. 96, s. 2019;
- q. In-House Seminar/Training an internal activity that the PRI organized and facilitated through any of its division, section, or committee, wherein resource speaker/s can be invited from outside the PRI;
- r. Obsolete Document a document that is superseded, replaced, or no longer required to the processes of the Institute and has been tagged as obsolete prior to its destruction;
- s. Order refers to an issuance directed to a particular office, official, or employee, concerning specific matters including assignments, detail and transfer of personnel, for observance or compliance by all concerned (*Book IV*, *Chapter 11*, *Section 50 (2) of the Administrative Code of 1987*);

- t. Out-of-House Seminar/Training a learning and development activity that is organized and facilitated by training providers outside of the PRI, and include those offered by any DOTr office/division/section/unit;
- u. Performance Indicator a characteristic of performance (quality, efficiency, and timeliness or cost) that is measured using the principle of evidence-based management that will illustrate the standard by which an office is expected to deliver its outputs and outcomes;
- v. Performance Target a predetermined numerical target level or performance (quality, efficiency, and timeliness or cost) against which actual performance can be compared, and for which a mean, deviation, and trend line can be calculated over time;
- w. Process Owner the personnel or office/division responsible for implementing a process and can recommend change/s to the process/es they are involved in;
- x. Program on Rewards and Incentives for Service Excellence (PRAISE) Committee the body created to take charge of the development, administration, monitoring, and evaluation of the awards and incentives system, more specifically the program on rewards and recognition;
- y. Ratee refers to the one whose performance must be appraised using the Strategic Performance Management System (SPMS) tools;
- z. Rater/Supervisor refers to the immediate supervisor of the one whose performance must be appraised using the SPMS tools;
- aa. Research and Development Division also called the RDD, is responsible for the establishment and management of partnerships, conduct of research, and policy formulation/review;
- bb. Strategic Performance Management System also called the SPMS, is performance management system that underscores the effective conversion of strategic goals into individual targets thereby ensuring that all individual efforts at any levels are vitally contributing to organizational productivity and success;
- cc. Success Indicators are performance level yardsticks consisting of performance measures and performance targets or pre-set standards of work outputs or accomplishments consisting of: (1) performance measures (key performance indicators, key performance measures); (2) corresponding targets for each performance measure; (3) possible scenarios of outputs/ accomplishments pertinent to the initiative (tasks, activities, projects, programs) to be undertaken and their equivalent performance level; and (4) the corresponding scores/ marks for these predicted scenarios;
- dd. Training Division also called the TD, is responsible for the training planning, design, and curriculum development, as well as training management;

- ee. Training Material any tool, in printed or electronic copy, used in developing one's skills and knowledge, examples of which are presentations, visual aids, reading materials, manuals, books, video, audio recordings, or assessment tools; and
- ff. Uncontrolled Document copies of controlled documents that do not need to be maintained and controlled, distributed by the respective Office Head or Division Chief for whatever purpose deemed necessary, bearing the "Uncontrolled Copy" stamp.

ARTICLE III Financial Management

The following rules refer to the management of the financial resources of the PRI:

A. Budget and Accounting

- 1. The primary sources of funds of the PRI shall be from the annual General Appropriations Act (GAA) of the National Government and its continuing appropriations, if there are any.
- 2. The PRI shall adhere to the national budget cycle that includes the four (4) phases of: (a) preparation, (b) authorization, (c) execution, and (d) accountability.
 - a. <u>Preparation.</u> During the budget preparation, the PRI shall determine its priority activities or projects to be implemented during the budget year. Budget planning shall take place every semester, during the conduct of the Strategic Planning Workshop. These activities or projects shall be translated into budgetary estimates, transformed into budget proposals, and submitted to the DOTr-Central Office (DOTr-CO) or relevant oversight agencies, or entities.
 - b. <u>Authorization.</u> During the budget authorization, the PRI shall participate in appropriate stage/s of legislative review (i.e., attendance to budget hearings) and approval of the budget as may be necessary or as instructed by the DOTr-CO or relevant oversight agencies. All queries, clarification, and explanation that may be asked during this process shall be responded to immediately. Close monitoring of changes or revisions until the enactment of the GAA shall be undertaken by the designated budget officers/budget focal personnel.
 - c. <u>Execution</u>. During the budget execution, the PRI shall undertake all activities necessary to utilize its budgetary appropriations. It shall comply with all documentation as may be requested by the DOTr-CO or relevant oversight agencies.
 - d. <u>Accountability.</u> During the budget accountability, the PRI shall track and monitor actual expenditures (i.e., earmarking, obligation, and disbursement stages), and evaluation of work accomplishments and performance. Funds appropriated and released shall be accounted for to determine whether such funds are utilized for the purpose that they are intended to accomplish. It shall likewise comply with all documentation as

may be necessary or requested by the DOTr-CO or relevant oversight agencies.

3. Implementation of accounting procedures per national accounting policies are done by the personnel from the DOTr-Comptrollership Service (CS). The PRI's participation is limited to the submission of documents in compliance with the requirements of accounting rules and regulations through the DOTr-CS.

B. Disbursement

- 1. The PRI shall comply with the policies and guidelines of the DOTr-CO and relevant oversight agencies in terms of disbursement of funds.
- 2. Disbursement of funds may arise from the following:
 - a. actual procurement contracts (i.e., purchase orders);
 - b. human resource-related expenses (e.g., overtime claims, training expenses);
 - c. Memorandum of Agreement (i.e., foreign agreements, partnership with other agencies to implement agreed programs);
 - d. petty cash utilization (i.e., transportation expense, or any other allowed expenses per accounting policies and special order issued); and
 - e. other reimbursement claims.
- 3. Complete documentary requirements for every kind of disbursement shall be complied with prior to actual payment.
- 4. Designated budget officer/focal personnel shall ensure that disbursement is made in a timely manner before the closure of the DOTr-CO's accounting books. Additional documents, as may be requested by the DOTr-CS or relevant oversight agencies that are necessary to effect or validate the payment, shall be promptly submitted.

Manuals may be issued by the PRI to clearly identify the roles and responsibilities of various personnel involved in the sub processes of financial management following its internal rules on document management.

ARTICLE IV Material Management

A. Document and Data Management

1. Centralized Document Repository and Controller

To effectively manage the incoming and outgoing documents, including those required to be produced and kept by the Institute, a Document Management Team (DM Team) shall be created or designated by the ED, which shall act as the central repository and controller of all reports, records, documents, and other papers.

a. Team Composition

The DM Team shall be headed by the Records Officer (RO) with the following members:

- i. a representative each from the CAD and RDD; and
- ii. one (1) representative member shall be designated from each section of the TD.

Members of the said team shall be subject to the recommendation of their respective Division Chiefs and considered as Document Controllers (DCs).

b. <u>Functions of the Team</u>

The DM Team shall have the following functions:

- i. Oversees the management, movement, and storage of all electronic and hard copy of documents and records of the Institute.
- ii. Coordinates among themselves to ensure that the requirements of this Order are satisfied. For this purpose, each Division Chief shall assign a DC from among the Division's personnel.
- iii. Ensures that the office/division has copies of all documents received, delivered, and produced by the Institute.
- iv. Ensures that the outgoing documents and other papers are complete and signed by the proper authority, if necessary.
- v. Ensures the security and accessibility of all of the Institute's documents.
- vi. Periodically checks the Institute's compliance with this Order, as necessary, and reports any nonconformities (NCs) to the CAD.
- vii. Informs the respective office/division of any document or other paper requested by external parties.
- viii. Establishes and maintains an efficient and effective filing system.

2. Document Types

The following are the different document types within PRI and their respective descriptions:

- a. *PRI* This type denotes that the document is designated as a central document under the direct control of the ED. All documents designated as PRI shall be approved by the ED or his/her nominated officer-in-charge, if any, and issued for distribution by the DC. Examples of this type are the EO, the IRR, Circulars, Orders, and Manuals.
- b. M This type denotes that the document is a training material. Training materials shall be authorized by the TD Chief prior to distribution and use. Modifications of these documents may only be initiated by the document/process owners.

Document Index for M documents is as follows:

Training Type	Material Type	Batch Number (if applicable)	Topic Code (if applicable)	
ex.				
RT	P	1901 (year + no.)	CC01000	
RT-P-1901-CC0100 Refresher Training Presentation				

Column definitions for the table above are as follows:

i. Training Type – indicates the training course covered by the training material.

RT: Refresher Training

WRT : Web Refresher Training
FT : Fundamental Training
WFT : Web Fundamental Training
CDT : Capacity Development Training
SM : Supervisory/Management Training

ii. Material Type – indicates the type of training material. The following lists the different types of training materials and their designation:

C : Curriculum Details

P : Presentation

IG : Instructor's Guide

H : Handouts

CE : Comprehensive Exam

PrT : Pretest PoT : Posttest

FE : Formative Exam QB : Question Bank

T : Textbook

- iii. Batch Number indicates the training's batch number where the document is used. Composed of four (4) digits, the first two (2) digits indicate the year and the last two (2) digits indicate the batch number for that year.
- iv. Competency/Subject Code Indicates a specific code string that shows the competency, subject, and topic of the material. Format of the said code string follows the format below:

С	С	0	1	0	0	0
Compe Cates	U		etency ode	Subject Code	Торіс	Code

С	С	0	1	0	0	0
ex. CC05	000 Core	? Compet	ency - Ra	il Transpo	ort Develo	opment

- c. *F* This type denotes that the document is a form. These forms may be for both internal and external stakeholders' use. Once filled out, these forms become documented information.
- d. *C* This type denotes that the document is a correspondence document. Examples of this type of document are memoranda, letters, minutes of meetings, or any such document used in communication that are either incoming or outgoing.
- e. *L* This type denotes that the document is a library document. Examples of library documents are textbooks, publications, videos, audiobooks, and other such materials used as reference material for the railway sector.

External documents or documented information may be received from time to time from external stakeholders. These documents or documented information shall be coded by the RO for easier accessibility and traceability.

3. Document Control Numbering

The following shall be the structure of the document code and control/reference number for each type of document:

a. PRI Documents

For manuals or procedures or guidelines, the following shall be the structure of the document code and control/reference number:

- i. This item signifies that this is an official document of the Institute, indicated as **PRI** across all control numbers.
- ii. This item signifies the **topic/subject**, in an abbreviated format that shall be limited to three (3) letters only, subject to the discretion of the document creator and approval of the DM Team on the availability of the abbreviation.
- iii. This item signifies the specific **reference number** assigned to each document. The reference number shall be a 3-digit number, assigned chronologically based on when the document is created (e.g., 000 for the first document created for that topic/subject, 001 for the first revision of the document, 002 for the second revision of the document, and so on).

Circulars and Orders are also considered as PRI-type documents. The following shall be the structure of the document code and control/reference number:

- i. This item signifies that this is an official document of the Institute, indicated as **PRI** across all control numbers.
- ii. This item signifies the **name of the document**, in an abbreviated format that is limited to three (3) letters only. For Circulars, the abbreviation "CIR" shall be used while "ODR" refers to Orders.
- iii. This item determines the **topic/subject** of the Circular/Order, in an abbreviated format that is likewise limited to three (3) letters only, subject to the discretion of the document creator and approval of the DM Team on the availability of the abbreviation.
- iv. This item signifies the specific **reference number** assigned to each document. The reference number shall be a 3-digit number, assigned chronologically based on when the document is created and revised (e.g., 000 for the first document created for that topic/subject, 001 for the first revision of the document, 002 for the second revision of the document, and so on).

b. Training Materials

For training materials, the following shall be the structure of the document code and control/reference number:

- i. This item signifies that this is an official document of the Institute, indicated as **PRI** across all control numbers.
- ii. This item signifies the document's process owner, which is the TD in this example. Control numbers in this field shall be the **RDD**, **TD**, **CAD**, or **AFS**.
- iii. This item signifies the type of document the control number is referring to. In this example, the document is a material type of document.
- iv. This is a placeholder, which signifies the start of the code string provided hereof.

c. Forms

For forms to be used by both internal and external stakeholders, the following shall be the structure of the document code and control/reference number:

- i. This item signifies that this is an official document of the Institute, indicated as **PRI** across all control numbers.
- ii. This item signifies the document's **process owner**, which is the CAD in this example. Control numbers in this field shall be the **RDD**, **TD**, **CAD**, or **AFS**.

- iii. This item signifies the **type of document** the control number is referring to. In this example the document is a form type of document.
- iv. This item signifies the **name of the document**, in an abbreviated format that is limited to three (3) letters only, subject to the discretion of the document creator and approval of the DM Team on the availability of the abbreviation.
- v. This item signifies the **year** when the specific document is created, written in the format *yyyy*.
- vi. This item signifies the **month** when the specific document is created, written in the format *mm*.
- vii. This item signifies the specific **reference number** assigned to each document. The reference number shall be a 4-digit number, assigned chronologically based on when the document is created (e.g., 0001 for the first document created for that year and month, 0002 for the following document, and so on).
- viii. This item signifies the nature of the document's application, which may be classified as **S** (simple), **C** (complex), **H** (highly technical), and **E** (exemptions). The application shall follow a determined set of rules, identified by the nature and length of the processing time required to close out the document's application.

d. Correspondence

For communication-related documents, the following shall be the structure of the document code and control/reference number:

- i. This item signifies the document's process owner, which is the CAD in this example. Control numbers in this field shall be the RDD, TD, CAD, or AFS. If the correspondence document should come from the Office of the Executive Director, this field shall be skipped and the following item shall immediately start (ex. PRI-C-MEM-2022-01-0001-S).
- ii. This item signifies the **type of document** the control number is referring to. In this example the document is a correspondence type of document.
- iii. This item signifies the **name of the document**, in an abbreviated format. The abbreviated format shall be limited to three (3) letters only, subject to the discretion of the document creator, and approval of the DM Team on the availability of the abbreviation.
- iv. This item signifies the **year** when the specific document is created, written in the format *yyyy*.
- v. This item signifies the **month** when the specific document is created, written in the format *mm*.
- vi. This item signifies the specific **reference number** assigned to each document. The reference number shall be a 4-digit number, assigned chronologically based on when the document is created (e.g., 0001 for the first document created for that year and month, 0002 for the following document, and so on).
- vii. This item signifies the nature of the document's application, which may be classified as **S** (simple), **C** (complex), **H** (highly technical),

and E (exemptions). The application shall follow a determined set of rules, identified by the nature and length of the processing time required to close out the document's application.

e. Library

For library-related documents, the following shall be the structure of the document code and control/ reference number:

- i. This item signifies that this is an official document of the Institute, indicated as **PRI** across all control numbers.
- ii. This item signifies the document's **process owner**, which is the RDD in this example. Control numbers in this field shall be the **RDD**, **TD**, **CAD**, or **AFS**.
- iii. This item signifies the **type of document** the control number is referring to. In this example the document is a library type of document.
- iv. This is a placeholder, which signifies the start of the code string for library type documents, which shall be put in detail in a separate Order.

f. External Documents

For documents of external origin, the following shall be the structure of the document code and control/reference number:

- i. This item signifies that this is an official document received by the Institute, indicated as **PRI**.
- ii. This item signifies the **origin of the document**, which shall be in an abbreviated format limited to three (3) letters only, subject to the discretion of the RO (e.g., incoming documents from the Office of the Undersecretary for Railways shall be labeled as OUR).
- iii. This item signifies the **year** when the specific document is received, written in the format *yy*. The two-number format signifies that this is an external document that was received by the PRI.
- iv. This item signifies the specific **reference number** assigned to each document. The reference number shall be a 6-digit number, assigned chronologically based on when the document is received (e.g., 000001 for the first document received by the PRI for the year, 000002 for the following document, and so on).

Whenever applicable, the nature of the document's application shall be identified as: **S** (simple transactions are those that require no longer than three (3) working days of processing time); **C** (complex transactions shall require seven (7) working days); and **H** (highly technical transactions that require no longer than twenty (20) working days). The scope and details of the above are

further indicated in R.A. No. 11032, including details that explain the coverage of transactions that fall under the nature of exemptions.

4. Format

The following format shall be followed in creating the following documents:

a. PRI Documents

The format for the policies like Orders or Circulars shall generally follow the following illustration:

Font Type: Book Antiqua

Font Size: 12 pts Paper Size: Folio

Republic of the Philippines
Department of Transportation
PHILIPPINE RAILWAYS INSTITUTE

PRI Office Order/ Circular No. _____, series of YEAR

<TITLE OF THE DOCUMENT>

WHEREAS, x x x WHEREAS, x x x WHEREAS, x x x

NOW, THEREFORE, I, <NAME OF HEAD OF OFFICE>, <OFFICER-IN-CHARGE/ EXECUTIVE DIRECTOR> of the Philippine Railways Institute (PRI), by virtue of the powers vested in me, hereby order that the following rules and procedures be promulgated and adopted:

ARTICLE < ROMAN NUMERAL>

<Header 1 in Title Caps>

- I. <Header 2>
 - A. <Header 3>
 - 1. <Header 4>
 - a. <Header 5>
 - i. <Header 6>
 - <Header 7>
 - <Header 8>

WHEREAS, x x x WHEREAS, x x x

ARTICLE < ROMAN NUMERAL>

Effectivity Clause

This <Order/Circular> shall take effect <DATE OR PERIOD>.

<NAME OF HEAD OF OFFICE> <POSITION/DESIGNATION>

- - -

The following elements shall be present in all manuals/procedures/guidelines:

Font Type: Book Antiqua

Paper Size: Folio

i. Header

		DOC REF NO.:	<###>
PHILIPPINE RAILWAYS INSTITUTE Quality Management	•	EFFECTIVITY DATE:	DD MONTH YEAR
	INSTITUTE Quality Management	REVISION NO.:	<##>
PHILIPPINE RAILWAYS INSTITUTE	IILIPPINE System	PAGE NO.:	Page <current #="" page=""> out of <total number="" of="" pages=""></total></current>

- 1st Column:
 - Width 1.2 in.
 - Alignment Center
- 2nd Column:
 - Width 3.6 in.
 - o Alignment Center
 - o Font Size 12 pts.

- 3rd Column:
 - Width 1.35 in.
 - o Alignment Left
 - o Font Size 9 pts.
- 4th Column:
 - Width 1.35 in.
 - Alignment Center
 - o Font Size 9 pts.

ii. Footer

"Do not reproduce or remove from binder without the prior permission of the Document Controller."

Font Size: 9 pts Alignment: Center

b. Training Materials

The following are the required elements for each training material. Its placement, paper size, paper type, font size, and font type shall be at the discretion of the TD given the uniqueness of each training material:

- i. logos of the DOTr and the PRI;
- ii. names of the DOTr and the PRI;
- iii. title of the document;
- iv. document code;
- v. revision number; and
- vi. effectivity date.

c. Forms

For physical and internally-created forms, the paper size, paper type, font size, and font type shall be at the discretion of the proponent in consideration of its intended use, number of fields, and other factors. The following are the required elements to be present in each physical form:

- the logos of the DOTr and the PRI shall be set at the top of the first page as the header of every document, together with the name of the DOTr, name of the Institute, name of the division, section, team, or committee as the document owner, and the title of the document;
- ii. the document control number shall be placed right below the header, aligned left in the document;
- iii. opposite the control number, aligned right of the document, shall be an indicator of the current page along with the total number of pages a document has; and
- iv. the bottom left of every page shall indicate the document's revision number, opposite of which at the bottom right shall be the document's revision date.

For physical externally-created forms that the PRI will adopt as part of its processes, the original format shall be generally followed as to the required fields. Nonetheless, the paper size, paper type, font size, font type, header & footer content, placement of logos of the DOTr and PRI logos, and placement of document code, effectivity date, and revision number in the template shall be at the discretion of the proponent office/ division/section/ committee/ team.

For online forms, the format shall be flexible enough to fit with the digital platform's requirements or to fully maximize its features. At the minimum, it is recommended that the logos of the DOTr and the PRI be placed therein together with the title of the form.

For monitoring sheets and online registries used by the PRI, neither shall it bear any document code nor shall it adhere to any formatting requirements unless it needs to be printed at a certain time and approved by certain authorities as may be required by law or other relevant policies and guidelines.

d. Correspondence

The format for the correspondence shall generally follow the DOTr-CO requirements, if any. In addition and/or absent any requirement, it shall include the following:

- i. the logos of the DOTr and the PRI shall be set at the top of the first page as the header of every document; and
- ii. the document control number shall be placed right below the header, aligned left in the document.

e. Library

The entirety of the format for the library documents shall be at the discretion of the proponent as these may be in various forms (e.g., electronic file, physical book, etc.).

5. Document Control Stamps

To ensure the integrity, accuracy, and relevance of information in the documents created by the Institute, the RO, in his discretion, shall use the following document control stamps:

Specimen	Name	Description	Application
DOTr – PRI CONTROLLED COPY Control No.: Signature:	Controlled Copy	Color: Purple	For duplicate of a master copy that needs to be maintained and controlled

DOTr – PRI UNCONTROLLED COPY Control No.: Signature:	Uncontrolled Copy	Color: Green	For duplicate of a master copy that does not need to be maintained and controlled
DOTr — PRI MASTER COPY Control No.: Effectivity Date: Signature:	Master Copy (Circulars and Orders)	Color: Blue	For original copy of PRI- issued Circulars and Orders
DOTr – PRI MASTER COPY Control No.: Signature:	Master Copy (Other documents)	Color: Blue	For official version of any maintained and controlled document
DOTr - PRI OBSOLETE COPY Control No.: Signature:	Obsolete Copy	Color: Red	For document that is no longer valid

For online/ electronic copies of the documents, a watermark indicating "controlled" and "uncontrolled" documents may be used instead of the physical stamp for the same application as provided in the table above.

6. Document Management

- a. **Master List of Documented Information.** Each division shall maintain an electronic copy of a master list of all official documented information it owns, or documented information containing the process/es it implements. The said master list shall be under the control of the designated DC. On the other hand, an Institute-wide master list shall be under the control of the RO. The master list shall contain at least the following information:
 - i. document index;
 - ii. document title;
 - iii. revision number;
 - iv. published date;
 - v. document owner;
 - vi. status; and
 - vii. archiving date, if applicable.

Documented information not included in the master list may be considered unofficial by the internal quality audit team.

b. **Document Creation and Modification.** Whenever deemed necessary by the concerned personnel, documents, and other papers may be modified to update the Institute and its processes. Creation and modification of

documents shall require the use of the Document Maintenance (DM) Form except those categorized as external documents.

Creation of Documents

- i. On document creation, the requesting personnel shall produce a draft of the new document, to be attached with an accomplished DM Form. A copy of the said form is herein attached as **Annex A**.
- ii. The request shall then be reviewed and approved by the concerned Division Chief.
- iii. Upon approval, the Division's DC shall indicate the appropriate control numbers, provide the said marked document to the requesting personnel, and update the Division's document master list.
- iv. S/he shall also communicate the approved request to the RO for the latter to update the PRI's Master List of Documents.

Modification of Documents

- v. On document modification, the requesting personnel shall revise an existing document to be attached to an accomplished DM Form.
- vi. The request shall then be reviewed and approved by the concerned Division Chief.
- vii. Upon approval, the Division's DC shall update the revision number on the document and provide the requesting personnel with the document marked with the appropriate control information. S/he shall also reflect the changes to the Division's Master List of Documents and update the RO for the latter to make the necessary changes to the PRI's Document Master List.
- viii. The authority of requesters to modify documents is defined in Article IV (A) (2) hereof.
- c. **Document Distribution.** The process of distributing documents for use of the Institute shall be as follows:
 - i. The PRI personnel intending to use a particular document shall request the same to his/her Division's DC.
 - ii. The DCs shall provide the current copy of the requested document, furnished with the document control numbers.
 - iii. The DC shall log the document and its assigned control number to the document log sheet.
 - iv. The DM Team, in coordination with the DCs of all Offices/Divisions, shall determine the distribution, purpose, and the number of copies of the documents to be distributed. The said Team shall maintain a repository of the latest revisions of all PRI documents stamped as controlled copies. Documents in use shall be logged in the Document Logsheet (see **Annex B**), indicating the: (1) control number and indexing number; (2) document title; (3) date logged; (4) destruction date (if applicable); (5) availability of an electronic copy; and (6) signature of the DC for (3) and (4), respectively.
 - v. Exchange of documents within an office/division shall not require documented tracking. The Office Head or Division Chief may,

- however, choose to implement a tracking system within the office/division.
- vi. On the other hand, exchange of documents across offices/divisions shall require the use of the Internal Routing Slip (RS) Form (see **Annex C**) to be filled up by the requesting personnel and submitted to the concerned DC for approval. In case of requests for copies of Circular, Order, manuals, or PRI type documents, the CAD Chief shall approve the request, and the concerned DC shall provide a copy to the requestor.
- vii. Exchange of documents to external organizations shall also require the use of the RS Form. The concerned DC shall accomplish the form to be approved by the respective Office Head or Division Chief.
- viii. Uncontrolled copies of type M documents shall be made available to the public except in cases where confidentiality is an issue, such as copies of assessment tools.
- ix. All documents not bearing proper stamps and/or signatures from the approving personnel are considered unofficial and shall not be honored by the Institute.
- d. **Documents in Electronic Copy.** Documents may be found in electronic copy or converted to electronic copy. The DM Team shall oversee the handling and control of the documents' electronic copies. When storing documents in a data server, the following must be considered:
 - i. storage size of the server to be used and plans for possible expansion;
 - ii. stored documents in electronic copy shall be given the file name format of the document control number followed by the indexing number and then the document name;
 - iii. data security from hardware/software failure and possible malware infection;
 - iv. operability and maintenance of the data server;
 - v. accessibility to PRI personnel and the concerned public of server data subject to Article IV (A) (3) hereof;
 - vi. optimal connectivity to server data, avoiding downtime and slow access to data; and
 - vii. procurement and maintenance of the data server.

The DC of each office/division may have access to the electronic signature/s of the ED, Division Chief, and other personnel holding authoritative positions, whichever is applicable. The electronic signature must be provided with consent by the owner, along with an official letter of authorization. Their usage must also have written permission from the owners before they may be used by the Institute.

Documents shall retain the same identification system as found in Article IV (A) (3) hereof. Access and control of electronic copies of documents, on the other hand, shall follow the system laid down in Article IV (A) (2) of this Order.

e. External Document Control. External documents received by the Institute shall be handled with care and subjected to storage procedures listed in Article IV (7) hereof. External documents shall be classified according to

importance of the information contained therein. The recipient office/division shall undertake the storage, handling, and the distribution of said documents to necessary personnel/divisions, if applicable.

7. Records Management

The RO shall determine documented information that needs to be retained as records, thus, the same shall be under his/her responsibility. The RO shall collect and identify records, store and protect records, retrieve and maintain active records, as well as maintain and dispose of said records.

- a. **Collection and Identification of Records**. Records are identifiable through any or combination of the following information, as appropriate:
 - i. title of record;
 - ii. date(s);
 - iii. document number;
 - iv. name of signatory/ies; and
 - v. reference code.

Records are collected upon availability from their source/s, for appropriate filing by the RO or concerned process owner. In case of erasure or correction, the corrected data shall be countersigned by the personnel who corrected it.

All records shall be signed by the authorized personnel. The reviewer must ensure that said records are legible and contain sufficient information as a basis for its endorsement or approval. Hence, records without the signature of approving authorities, except electronic copies, are considered "unofficial".

- b. **Storage and Protection of Records**. Records shall be kept in appropriate locations to minimize physical deterioration, damage, and loss. For protection purposes, the following practices shall be observed:
 - i. use of expanded folders/envelopes and/or ring binders;
 - ii. placed in magazine files and stored in shelves or steel cabinets to prevent wear and tear;
 - iii. regular back-up of permanent and archival records, including databases; and
 - iv. access restriction through password to prevent unauthorized use (this only pertains to soft copy and other security measures).

The DM Team shall ensure that all documented information of the Institute has a backup policy should there be disasters/accidents where documented information may be lost or destroyed. The plan may cover the following considerations:

- i. scheduled maintenance of the current storage and backup storage;
- ii. schedule for point-in-time data capture systems;
- iii. capability of backup storage to update the stored information while changing the current storage; and
- iv. compatibility of backup storage to interact with current storage used by the Institute.

c. **Retrieval and Retention of Records**. For easy retrieval, filing cabinets, shelves, boxes, magazine files, folders, and envelopes are labeled. Records borrowed by other offices, divisions, or sections are traced using logbooks.

The storage, retrieval, and use of all data personal to the trainees and PRI personnel shall be used only for the purposes as set by the Institute in the performance of its powers and functions, and shall, at all times, comply with the provisions of RA No. 10173 or the Data Privacy Act of 2012 and the PRI's Guidelines on the Collection, Handling, and Safekeeping of Personal Data/Information.

d. **Maintenance and Disposal of Records**. Maintenance and disposal of records shall be done in accordance with the Records Retention and Disposition Schedule (RRDS) as prescribed by the National Archives of the Philippines (NAP). Once the PRI's RRDS is prepared, the same shall be submitted to and approved by the NAP. The NAP-approved RRDS shall then be regularly reviewed by the RO and revised as necessary. For easier safekeeping, permanent records may be converted to electronic files, except for records that require original copy bearing authentic signatures. A sample template of the NAP Records Disposition Schedule (RDS) is herein attached as **Annex D**.

The duration of document retention shall also be subject to determination and approval by the NAP. The DM Team shall ensure the application of all documents of the Institute to the prescribed retention period of the NAP.

Documents shall be retained for the prescribed period of retention, starting from first circulation, the date of which shall be indicated in the document. Documents that reach the required retention date, but are not marked obsolete, shall be archived to electronic databases before destruction.

Electronically archived documents shall not exceed 80% of the database's maximum storage capacity. Should the archived documents reach the prescribed storage capacity, the RO may purge up to five (5) years from the newest archived documents. The AO V and the RO may agree on the files to be permanently erased from the archive.

The said RO shall also maintain the Document Log Sheet, indicating the documents that were destroyed, date of destruction, and if electronically archived.

The personnel requesting for particular documents to be scheduled for disposal need to accomplish the DM Form and submit the same to the DC for processing. Such disposal must be compliant with the guidelines set by the Records Management Improvement Committee (RMIC) and the RDS. Once the RDS is approved, the personnel may proceed with phasing out the document in question. Disposal of physical documents shall be in coordination with the RMIC and concerned office/s of the DOTr.

B. Asset Management

1. Planning and Acquisition of Assets

The PRI adheres to the established national policy on government procurement and its implementing rules and regulations. The Procurement and Contract Management Manual (Annex E) shall provide the PRI personnel with the guidelines on the procurement of goods and services that include, but are not limited to, the steps below:

- a. conduct of market study, which involves the gathering of necessary procurement information from potential suppliers;
- b. preparation of procurement documents for submission to the DOTr's Procurement Planning and Management Division for approval and processing;
- monitoring of the status of evaluation and the process of selection among the participating bidders by the DOTr - Centralized Bid and Awards Committee (DOTr-CBAC), and the subsequent filing of documents;
- d. processing of documents for payment pursuant to the contracts by the DOTr-CO; and
- e. conduct of performance evaluation of external service providers by the concerned end-user.

The control to be applied to externally provided goods and services through procurement shall be determined during the preparation of its corresponding Terms of Reference. Consequently, the evidence of such control and its extent shall be through the conduct of performance evaluation of external service providers.

2. Operations, Maintenance, and Disposal of Assets

The PRI shall implement the General Asset Management Manual (<u>Annex</u> F) for the management of the properties under its disposition used for the operationalization of its mandate. As such, all PRI-owned assets shall be managed, expended, or utilized in accordance with existing laws, rules, and regulations, and shall adhere to the guidelines as set in the said Manual.

To ensure the Manual's strict implementation, the PRI Inventory Committee (PRIC) is hereby created in compliance with national policies. In harmonization with existing PRI Office Orders, the personnel assigned as Supply Focals who were designated as support personnel to the AFS shall likewise be the members of the PRIC.

The PRI shall exercise utmost care with property (includes materials, components, tools, equipment, premises, intellectual property, and personal data) belonging to its stakeholders (i.e., trainees, researchers, etc.) or external providers (i.e., contractors, service providers, etc.) while it is under the PRI's control or being used by the same.

When the said property is lost, damaged, or otherwise found unsuitable for use, the PRI shall report this to the stakeholder or external provider through a written correspondence detailing the same. Further negotiations or discussions may be undertaken by the PRI concerned personnel to resolve the matter.

ARTICLE V Human Resource Management

A. Recruitment and Placement

1. Recruitment

The Civil Service Commission (CSC) Resolution No. 17010009 or the 2017 Omnibus Rules on Appointments and Other Human Resource Actions (ORA-OHRA), and DO No. 2021-11 or the Revised DOTr - Human Resource Merit Selection and Promotion Plan (HRMSPP) shall be the main guidelines of selecting qualified PRI personnel regardless of the nature/status of the position. As a sectoral office under the administrative supervision of the DOTr, the PRI's recruitment processes must be in continuous coordination with the DOTr-Personnel Division (DOTr-PD).

The recruitment process is as follows:

- a. The PRI HR Team shall submit a Memorandum to the DOTr-PD requesting for the hiring of personnel, thus, filling up the identified vacant positions.
- b. The said Memorandum-request shall also indicate the list of vacant positions to be filled and the required period of publication, which must not be less than ten (10) days as required by the CSC.
- c. Once the request is approved, the identified vacant positions shall be posted through the CSC job portal, DOTr website, PRI Facebook page, and other available DOTr or PRI-owned social media platforms. Moreover, the qualified next-in-rank personnel are notified of the vacancy and its requirements. In case the said personnel do not wish to apply to the said position, he/she shall accomplish and submit a waiver to the DOTr-PD.
- d. The processing of the applications by the DOTr-PD shall immediately follow, *to wit*:
 - i. review of submitted required documents (e.g., Personal Data Sheet, Work Experience Sheet, diploma, Transcript of Records, among others);
 - ii. shortlisting of applicants based on the review of the applicants' credentials vis-a-vis the CSC-required minimum qualifications and preferred qualifications set by the PRI;
 - iii. for positions with Salary Grade (SG) 1-19, the shortlisted applicants shall undergo the qualifying examinations and interview;
 - iv. on the other hand, shortlisted applicants for positions with SG 20 and above shall undergo the initial interview, initial qualifying examination, and in-depth selection process (i.e., MATB examination and panel interview by the HRMSPB);
 - v. positions that are considered part of the potential pool of instructors shall also deliver a five (5)-minute lecture on any topic, to which they shall be rated by selected PRI personnel;

- vi. after the processes in letters c to e hereof, a background check by the DOTr-Personnel Division and final deliberation by the HRMSPB shall be conducted; and
- vii. A Congratulatory Memorandum shall be issued to the successful applicant, while a Regrets Memorandum is sent to the unsuccessful applicant by the DOTr-PD.
- e. The successful applicant shall then submit the additional required documents to the DOTr-PD.
- f. Once all documents are submitted and requirements met, the successful applicant shall be issued his/her appointment papers by the DOTr-PD. The latter shall also be responsible for facilitating the submission or approval of the said documents to/by the CSC.

Throughout the process, the PRI HR Team shall closely coordinate with the DOTr-PD.

2. Onboarding

Once the Congratulatory Memorandum is sent to the selected personnel for a certain position and the start date is determined, the PRI's HR Team must prepare for the onboarding of the personnel. PRI-HR Team shall facilitate the drafting of the Onboarding Plan (**Annex G**) by the respective division/section.

To facilitate this, the team shall:

- a. pre-accomplish the Onboarding Plan;
- b. send the pre-accomplished plan to the concerned Section Head and Division Chief for the latter to input the activities of the new hire, including the identification of his/her buddy;
- c. secure the concerned Section Head and Division Chief's approval of the plan; and
- d. send a copy of the approved plan to the newly-hired personnel.

The HRMO I shall facilitate the conduct of the activities stated in the Onboarding Plan.

3. Exit Process

The exit process of PRI personnel shall be as follows:

a. Conduct of Exit Interview

An exit interview shall be conducted by the assigned HR Team member to elicit the exiting personnel's significant experiences while working in the PRI and honest feedback that will help the PRI improve its services and processes. This process shall be documented using the Exit Interview Form (Annex H).

b. Accomplishment of the Internal Clearance

The exiting personnel shall accomplish the PRI's Internal Exit Clearance Form (Annex I). The said document ensures that the personnel has no

pending tasks or liabilities to his/her respective division/section/committees/teams. The internal rules to accomplish the same are also stipulated at the back of the document to remind the personnel of his/her accountability/ies. Once accomplished, it must be submitted to the HR Team

It must also be noted that the accomplishment of this form is a prerequisite to the signing of the DOTr Clearance (Yellow Form) by the Division Chiefs and the ED.

c. Accomplishment of the Undertaking Form

An Undertaking Form (**Annex J**) shall also be accomplished by the exiting personnel. This document ensures that he/she will not be using/sharing all PRI official documents for any purpose/s, including those developed solely by him/her or in collaboration with the PRI's stakeholders, and those he/she received pursuant to his/her duties and functions in the PRI.

For both clearances, it shall be the exiting personnel's responsibility to obtain all signatures from concerned committees, section/s, and division/s. The PRI's HRMO I may extend assistance but the employee must proactively follow up the status of his/her own documents.

B. Learning and Development Intervention

1. Types

To continuously develop the competencies of railway personnel, it is also necessary to develop the capacities of and equip the PRI personnel with the necessary knowledge, skills, and attitude to better deliver their duties and functions. The. PRI has five (5) ways to further capacitate its personnel through appropriate learning and development interventions (LDIs), to wit:

a. Local In-House Seminar/Training

The respective divisions, sections, and committees, or any member thereof, may initiate the conduct of seminar/training that will help improve their respective personnel. In this instance, coordination with the AFS must be made to facilitate approval of relevant offices.

b. Local Out-of-House Seminar/Training

The PRI personnel may also participate in out-of-house seminar/training that may be classified into two (2): (1) internally outsourced seminar/training, and (2) outsourced seminar/training by the DOTr-Human Resource Development Division (DOTr-HRDD).

Internally outsourced seminar/training

- i. The PRI HR Team shall prepare and disseminate a List of Available LDIs per semester to be offered to its personnel.
- ii. Seminar/training that is not included in the list, but is considered beneficial by the personnel for his/her capacity development, may

- be suggested by the concerned personnel to the HR Team, which shall, in turn, include it in the list.
- iii. Once the list is finalized, the HR Team shall release the same to all personnel. The team shall also request for the earmarking of the budget, which shall be submitted to the DOTr Undersecretary for Administration and Finance for approval.
- iv. Interested personnel may enroll in any of the listed LDIs by encoding their names in the Google sheet provided. They shall also accomplish a Nomination Form (**Annex K**) from the DOTr-HRDD, to be signed/approved by his/her respective immediate supervisor.
- v. The accomplished form shall then be submitted to the designated HR Team member who will, in turn, submit the same to the DOTr-HRDD.
- vi. Once approved, the concerned personnel shall receive a Memorandum to attend the seminar/training.

DOTr-HRDD outsourced seminar/training

DO No. 2021-007 shall govern the conduct of DOTr-HRDD outsourced seminar/training, with the following general steps:

- i. The DOTr-HRDD disseminates information on any available seminars/training offered to all personnel in the Department.
- ii. The same shall be cascaded by the HR Team to all PRI personnel through email or any available platforms.
- iii. If qualified to attend the seminar/training, the concerned personnel shall accomplish a Nomination Form (*see Annex G*) to be approved by his/her immediate supervisor.
- iv. The accomplished form shall then be submitted to the designated HR Team member who will, in turn, submit the same to the DOTr-HRDD.
- v. From the pool of nominees, the DOTr-HRDD shall determine the final list of attendees.
- v. A Memorandum containing the approved and final list of seminar/training participants shall then be issued to the concerned personnel by the DOTr-HRDD. The concerned personnel shall also receive a Memorandum to attend the seminar/training.

c. International In-House and Out-of House Seminar/Training

Once an invitation from a Development Partner (DP) is received, the concerned HR Team member shall disseminate the same to all PRI personnel through email or any available platforms. The PRI, in turn, nominates its delegates/participants based on the requirements set by the DP.

The following steps are being followed in the selection of participants:

Internal Selection Committee and its responsibilities

- i. To maintain fairness in selecting the official delegates, the PRI's Internal Selection Committee (ISC) is established, which shall be composed of the three (3) Division Chiefs.
- ii. With the assistance of the assigned HR Team member who shall serve as the Secretariat, the ISC members shall assess the applicants' credentials through their submitted documentary requirements visa-vis the DOTr-HRDD and DP's requirements that include, but are not limited to, the accomplished Application Form (Annex L) and Re-Entry Action Plan (Annex M).
- iii. An interview of the applicants shall also be conducted by the ISC.
- iv. Based on the two-step process mentioned above, the ISC shall rate the applicants based on the approved rubrics (**Annex N**).
- v. A deliberation shall, thereafter, be conducted by the ISC. Once finalized, it shall endorse the delegates to the ED for the latter's approval.
- v. Once approved, the HR Team shall submit the PRI's recommendation to the DOTr-HRDD.

Document requirement and selection process

- i. The selection process shall be conducted by the DOTr's Personnel Development Committee (DOTr-PDC) pursuant to DOTr DO No. 2021-007.
- ii. The said committee shall select from among the nominated applicants throughout the Department through a review of the submitted documentary requirements. Upon the DOTr-PDC's discretion, an interview may also be conducted.

d. Scholarship Program - Local or International

Pursuant to the DOTr No. 2021-007, the PRI may receive extended invitations from the DOTr-CO on local or international scholarship programs. Any interested personnel may send their nomination to the DOTr-PDC for initial evaluation and processing. The interested personnel may ask for assistance from the assigned HR TEam member. Throughout the process, the AFS must be in-loop on all communication of the nominated personnel with the DOTr-HRDD for record purposes.

e. Immersion Program

Immersion program with stakeholders and partners (e.g., railway operators) shall be arranged by the concerned division/section. Requirements for the said activity shall depend on those set by the stakeholders/partners. The concerned Division Chief, on the other hand, shall handle the selection of participants,

and the Program's proposed learning outcomes of the PRI personnel, which shall be endorsed to the aforementioned stakeholders and partners.

2. Post-Training/Scholarship Program

a. Training/Seminar/Immersion

- i. The concerned personnel shall submit a copy of the Certificate of Completion/Attendance/Participation to the assigned HR Team member for recording purposes.
- ii. A Post-training Report (**Annex O**) shall then be accomplished and submitted to the HR Team. The said report shall indicate the target date of the echo seminar, whenever applicable.
- iii. The concerned personnel shall ensure that his/her REAP shall be implemented. In turn, his/her immediate supervisor shall monitor its implementation.

b. Scholarship Program

Depending on the signed Service Contract, the personnel shall comply with the requirements after completion of his/her scholarship program upon return to the Philippines.

3. Learning and Development Plan

Once the PRI develops its competency-based framework based on relevant PRI Office Order, an LD Plan shall be developed. Wherever necessary and appropriate, subsequent amendment of the process mentioned-above shall be made.

C. Performance Management System

1. Strategic Performance Management System

The PRI's SPMS serves as the basis of, but not limited to, performance measures, performance-based incentives, and human resource actions for its personnel.

a. Objectives

The following are the objectives of the SPMS:

- i. ensure the attainment of the PRI's mission, vision, organizational outcomes, strategic objectives, and strategic initiatives;
- ii. integrate competency-based framework, once the latter is developed and approved, as the vital link of performance management system;
- iii. concretize linkage of organizational performance with the Strategic Plan;
- iv. institutionalize a system on coaching and mentoring roles of supervisors and subordinates incorporating the effective cascading of commitments,

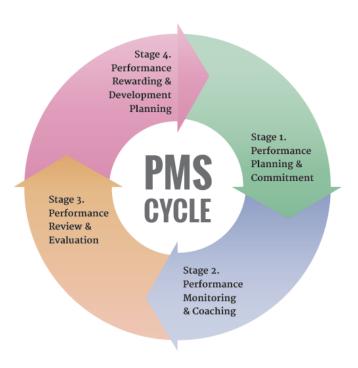
priorities, and institutional accountabilities to various levels of the organization through the identification of appropriate performance indicators and targets; and

v. create an enabling environment for formal dialogues and effective communication between supervisors and subordinates as a critical exercise for employee, as well as for the promotion of equal opportunities and non-discrimination on account of gender, civil status, disability, religion, ethnicity, or political affiliation in all phases of performance management and its processes.

b. SPMS Cycle

Its SPMS shall follow a four (4)-stage cycle, as shown in the figure below, that underscores the importance of performance management. Each stage entails the accomplishment of SPMS forms in accordance with the timelines set.

Specific procedures on each stage shall be embodied in their respective Manuals (**Annex P**) as may be applicable.



2. Key Players and Responsibilities

In the implementation of the SPMS, the following are the key players and their respective responsibilities:

KEY PLAYERS (per CSC MC No. 6, s. 2012)	PRI PERSONNEL ASSIGNED	FUNCTIONS AND RESPONSIBILITIES
SPMS Champion	ED	 Responsible and accountable for the establishment and implementation of the SPMS; Sets performance goals/objectives and performance measures;

		 Determines target setting period; Approves office performance commitment and rating; Assesses performance of divisions; and Approves divisions' performance commitment and rating.
Performance Management Team (PMT)	Management Committee Members	 Ensure the implementation of the SPMS in accordance with the timelines set; Conduct consultation meetings with all division and section heads to discuss the office performance commitment and rating system and tools; Ensure that office performance management targets, success indicators, measures, and budget are aligned with the goals of the DOTr and PRI; Recommend approval of the office performance and rating system and tools; Act as appeals body and final arbiter; Identify potential top performers for awards; and Adopt internal rules, procedures, and strategies to carry out its responsibilities.
Planning Office	RDD	 Function as the PMT Secretariat; Monitor submission of Office Performance Commitment and Review (OPCR); Consolidate, review, validate, and evaluate the initial performance assessment based on accomplishments reported against success indicators and budget against actual expenses; Conducts Strategic Planning Workshops and performance planning and review conference; and Provide technical assistance as may be necessary.
Human Resource Management Office	AFS	 Serve as co-secretariat of the RDD; Monitor submission of Individual Performance Commitment and Review (IPCR); Review the summary list of individual performance ratings; Collect, organize, and maintain files or records of performance ratings of PRI officials and employees; Provide analytical data on retention, skill/competency gaps, and talent development plan; Coordinate developmental interventions that will form part of the HR Plan; and Coordinate with the DOTr and/or CSC as

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		needed to ensure proper and effective implementation of the SPMS.
	All HR Support personnel (pursuant to relevant PRI Office Orders)	 Also considered as the PMS focals; Attend meetings and other activities related to SPMS implementation, review, and enhancement; Re-echo instructions, requirements, plans, and agreements in the PMS-related meetings; Administer to raters/supervisors the PMS forms and ensure completion of these requirements; and Assist their respective divisions/sections in the submission of performance documents (i.e., DPCRs, IPCRs).
Head of Office	ED	 Assumes the primary responsibility for performance management in his/her office; Conducts strategic planning sessions with supervisors and staff; Reviews and approves the Division Chiefs' performance commitment and rating form; Does initial assessment of the PRI's performance; Determines final assessment of individual employees' performance level, as may be deemed necessary; Informs Division Chiefs of the final rating and identifies necessary interventions; and Provides written notice to subordinates who obtain Unsatisfactory or Poor rating.
Division Chief	All Division Chiefs of the PRI	 Assume joint responsibility with the ED in attaining performance targets; Rationalize distribution of targets and tasks; Set the success indicators of their respective divisions for the assigned strategic objective; Closely monitor the status of performance of section heads/subordinates in accordance with the timelines set; Submit monthly accomplishment report to the SPMS Champion/ED; Assess performance of section heads/subordinates through the conduct of performance checkpoints and assessments in accordance with the timelines set; Review and approve commitment and rating forms of section heads/subordinates; Inform section heads/subordinates of the final rating and identifies necessary interventions; and Provide written notice to section heads/subordinates who obtain

		Unsatisfactory or Poor rating.
Individual Employees	Immediate Supervisors/ Section Heads	 Assume joint responsibility with the ED and Division Chiefs in attaining performance targets; Rationalize distribution of targets and tasks; Determine and recommend Success Indicators to the respective Division Chiefs for the assigned strategic objective; Closely monitor the status of performance of subordinates in accordance with the timelines set; Ensure updated weekly accomplishment report through the online monitoring sheet; Assess performance of subordinates through conduct of performance checkpoints and assessments in accordance with the timelines set; Review and approve commitment and rating forms of subordinates; Inform subordinates of the final rating and identifies necessary interventions; and Provides written notice to subordinates who obtain Unsatisfactory or Poor rating.
	All rank-and- file employees/ personnel regardless of employment status	 Act as partners of management and coemployees in meeting organizational performance goals; Prepare their respective IPCRs and monitoring sheets; Provide feedback (includes identified hindrances and other obstacles in accomplishing the set targets) on the progress of achievements of targets and fulfillment of performance commitments to the immediate supervisor. Discuss problems and difficulties encountered in the accomplishment of the agreed performance targets and resolving the same together with rater-supervisor; and Agree on certain checkpoints with the rater-supervisor in terms of schedule and output status in order to ensure accomplishment of tasks.

3. Timelines and Rating Period

The SPMS cycle shall follow the timeline listed in the table below:

ACTIVITY	ACTIVITY TIMELINE	
Performance Planning and	Commitment	
Development/ Updating of Strategic Plan	During the semi-annual Strategic Planning Workshop	Strategic Plan (Physical and Electronic Copy)
Crafting of OPCR and DPCR Targets, and Monitoring Sheets	During the semi-annual Strategic Planning Workshop	 OPCR Targets (Physical Copy and Electronic Copy) DPCR Targets (Physical Copy and Electronic Copy) OPCR Monitoring Sheet (Online document only) DPCR Monitoring Sheets (Online document only)
Crafting of IPCRs and Monitoring Sheet During the semi-annual Strategic Planning Workshop		 IPCR Targets (Physical Copy and Electronic Copy) IPCR Monitoring Sheets (Online document only)
Performance Monitoring an	nd Coaching	
Updating of OPCR Monitoring Sheet	Every 1st week of the succeeding month	OPCR Monitoring Sheet (Online document only)
Updating of DPCR Monitoring Sheets	Every last week of the month	 DPCR Monitoring Sheets (Online document only) Performance Monitoring and Coaching Journal (Annex Q)
Updating of IPCR Monitoring Sheets	Every Monday of the succeeding week, or the next working day should it be declared a holiday or if suspended	 IPCR Monitoring Sheets (Online document only) Performance Monitoring and Coaching Journal (Annex R)
Submission of Monitoring and Coaching Journals	Within the 1st week of the succeeding quarter: Q1: 1st week of April Q2: 1st week of July Q3: 1st week of October Q4: 1st week of January	Performance Monitoring and Coaching Journal (Annex S)
Conduct of Performance Checkpoint	Within the 3rd week of the third month of the semester: • 1st Semester: 3rd week	Performance Checkpoint (Annex T)

	of March • 2nd Semester: 3rd week of September				
Performance Review and Evaluation (Rating Period) The performance review and evaluation shall be done semi-annually. However, in case there is a need for a shorter or longer period, the minimum appraisal period is at least ninety (90) calendar days or three (3) months while the maximum is no longer than one (1) calendar year, unless under scholarship grant or other similar circumstances.					
Rating of Individual Performance Commitments	1st Semester: 1st week of July2nd Semester: 1st week of January	IPCR Accomplishments (Physical Copy and Electronic Copy)			
Rating of Division Performance Commitments	1st Semester: 2nd week of July2nd Semester: 2nd week of January	DPCR Accomplishments (Physical Copy and Electronic Copy)			
Rating of Office Performance Commitments	 1st Semester: 2nd week of July 2nd Semester: 2nd week of January 	 OPCR Accomplishments (Physical Copy and Electronic Copy) Summary List of Individual Performance Ratings (Annex U) Summary List of Accomplishments (Annex V) 			
Internal Quality Audit (IQA)	Annually pursuant to the Audit Program or at any time deemed necessary by the IQA Team	 Audit Plan Audit Checklist Non-Conformity Report (NCR), if applicable Corrective Action Report (CAR), if applicable 			
Performance Rewards and Development Planning					
Rewards and Recognition Activities	Annually - during the PRI's Anniversary Celebration	 Certificates (Physical Copy and Electronic Copy) to be determined by the yearly Anniversary Committee Tracker (Online Document only) 			
Crafting of Individual Development Plan	During the semi-annual Strategic Planning Workshop	Individual Development Plan (Physical and Electronic Copy)			

4. Integration with the Quality Management System

The PRI shall endeavor to adhere to the international standards on QMS. As such, the IQA Team shall convene and schedule an audit on quality objectives

alone to issue NCRs for unmet targets, whenever applicable. In return, it shall receive CARs for monitoring pursuant to its established procedures on internal quality audit and handling of non-conformities.

5. Appeals

In accordance with the CSC, the following are the rules on appeal pertinent to the SPMS:

- i. 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 their rater/immediate supervisor.
- ii. An office/unit/individual employee shall not be allowed to protest the performance rating of other office/unit/individual employees.
- iii. Ratings obtained by other office/unit/individual employees can only be used as basis or reference for comparison in appealing one's office or individual performance rating.
- iv. The PMT shall decide on the appeals within one (1) month from the receipt. The PMT's decision may be appealed to the ED.
- v. Officials or employees, who are separated from the service on the basis of Unsatisfactory or Poor performance rating, may appeal their separation to the CSC or its Regional Office within 15 days from receipt of the order or notice of separation.

2. Peer Review Process

Apart from the above-mentioned performance evaluation process, the PRI adheres to evaluate strengths, recommend improvements where needed, and receive some guidance in planning a career path suited to the personnel's capabilities through the peer review process. The said review is a mechanism to elicit honest feedback on behaviors of individuals in work teams. This process is an additional measure to solicit possible interventions to continuously improve the personnel's work performance and career advancement.

a. Objectives

The objectives of this process are to:

- i. establish an honest and constructive review of the employee's behavior and performance;
- ii. identify and document on a continuing basis the outstanding accomplishments and best practices of PRI employees and its work committees/teams;
- iii. raise performance standards of PRI employees through continuous recognition of exemplary performance, contributions, and personal efforts; and
- iv. guide the supervisors and Division Chiefs on timely coaching and mentoring of their respective subordinates.

b. Peer Review Process

The peer review process shall apply to all PRI personnel, regardless of

employment status, except the ED. It shall be done bi-annually before the semestral rating periods. The process shall be as follows:

- i. The schedule of the peer review shall be cascaded and discussed to all PRI personnel by the HRMO I.
- ii. The HRMO I must prepare the two (2) types of evaluation sheets: (1) Self-Evaluation Form (**Annex W**) used to appraise one's performance; and (2) Peer Evaluation Form (**Annex X**) to be accomplished by the immediate supervisor and the designated peer. The said forms may be in a hard copy, soft copy, or Google Form format.
- iii. The personnel shall be evaluated by their respective immediate supervisors and one (1) staff from their section who will be assigned by the immediate supervisor. Aside from the immediate supervisor, the personnel shall also be evaluated according to their tasks with their assigned committees by their concerned committee heads/supervisors.
- iv. The personnel shall be given three (3) working days to accomplish said evaluations sheets.
- v. Accomplished evaluation sheets shall be collated by the HRMO I. All accomplished forms shall observe strict confidentiality.
- vi. Computation of rating shall be done by the HRMO I and the results of the same shall be forwarded to the concerned Division Chief.
- vii. A summary of the evaluation results shall be compiled in the 201 file of the personnel.
- viii. After the evaluation, each personnel shall receive a summarized result through the Peer Evaluation Summary Report. The concerned supervisors or Division Chiefs must be open for consultation if requested by the concerned personnel.
 - ix. The ratings may be considered by the immediate supervisors in the personnel's IPCR rating before computing the final average score. It may also be a basis for nominations to the DOTr PRAISE activities.
 - x. The Anniversary Committee shall determine the type and form of incentives and rewards that may be granted in recognition of the personnel's superior performance, innovation, and other exemplary efforts.

c. Timeline

The HRMO I shall be guided by the following timeline:

Activity	Duration
Refresher and orientation to new hires	To be included in the Onboarding Plan
Assigning of Immediate Supervisor and Committee Heads	1 week before the peer review date
Distribution of Self-Evaluation Forms	Day 1 of the last week of May and November
Distribution of Peer Review Forms	Day 2 and 3 of the last week of May and November
Collation/Computation of	Two (2) weeks after submission all

Ratings	completed peer review
Sending of Individual Evaluation Reports	Three (3) weeks after the submission all completed peer review
Sending of signed Individual Evaluation Reports	Four (4) weeks after the submission all completed peer review

D. Rewards and Recognition

The fourth and last SPMS cycle shall be done regularly in separate timelines. The rewards and recognition shall be done during the PRI's anniversary celebration, and shall be based on voting and performance review and evaluation.

On the other hand, development planning shall be consistent with the PRI's competency framework once developed and its corresponding guidelines. Likewise, it shall be based on the results of the performance review and evaluation wherein appropriate developmental interventions are made available to specific personnel.

ARTICLE VI Transitory Provision

A detailed orientation shall be conducted within thirty (30) working days upon the effectivity of this Order to all personnel of the Institute. The use of enrolled documents shall begin after the said orientation.

ARTICLE VII Amendments

Amendment to any provision of this Order shall undergo legal review to ensure its compliance with the EO No. 96, s. 2019, the IRR or DOTr DO No. 2020-005, and other existing laws, rules, and regulations.

ARTICLE VIII Separability Clause

If, for any reason, any section or provision of this Order is declared unconstitutional or invalid, the other sections or provisions hereof not affected by such declaration shall remain in full force and effect.

ARTICLE IX Effectivity Clause

This Order shall take effect immediately upon its issuance.

ANNEL R. LONTOC, CESO I Undersecretary, DOTr and OIC - Executive Director, PRI



ANNEX A

REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE

Certification and Accreditation Division



REQUEST FOR DOCUMENT MAINTENANCE

No.: PRI-F-CAD-DM-2020-01-0001-S		1 01 1
	AUDIT INFORMATION	
CREATION OF NEW DOCUMENT	NATURE OF REQUEST REVISION OF EXISTING DOCUMENT	DELETION OF EXISTING DOCUMENT
	DOCUMENT DETAILS	
DECUECTED BY	ENDODOED BY	ADDOVED BY
REQUESTED BY	ENDORSED BY	APPROVED BY
REQUESTOR	DIVISION CHIEF	CAD CHIEF
Signature over Printed Name	Signature over Printed Name	Signature over Printed Name
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DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE Certification and Accreditation Division



REQUEST FOR DOCUMENT MAINTENANCE

No.: PRI-F-CAD-DM-2020-01-0001-S		1 of 1
	AUDIT INFORMATION	
CREATION OF NEW DOCUMENT	NATURE OF REQUEST REVISION OF EXISTING DOCUMENT	DELETION OF EXISTING DOCUMENT
_	DOCUMENT DETAILS	_
REQUESTED BY	ENDORSED BY	APPROVED BY
REQUESTOR	DIVISION CHIEF	CAD CHIEF
Signature over Printed Name	Signature over Printed Name	Signature over Printed Name





REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE

DOCUMENT LOGSHEET

No. PRI-CAD-F-DL-2020-01-0001-S						1 of 2
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PHILIPPINE	
INSTITUTE	

ROUTING/AC				
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DIVISION/SECTION:	DIVISION/SI			
SUBJECT:	SUBJECT:			
REQUESTED ACTION				
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From	For	Remarks
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PHILIPPINE
RAILWAYS
■ ■ INSTITUTE

ROUTING/ACTION SLIP						
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NATIONAL ARCHIVES OF THE PHILIPPINES Pambansang Sinupan ng Pilipinas RECORDS DISPOSITION SCHEDULE		1. AGENCY NAME: 2. ADDRESS:			
3. SCHEDULI	E NO.:	4. DATE PR	EPARED:		
5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	7. RE	TENTION PE	RIOD	8. REMARKS

IMPORTANT: Pursuant to Section 18, Article III, RA 9470 s. 2007, "No government department, bureau, agency and instrumentality shall dispose of, destroy or authorize the disposal or destruction of any public records, which are in the custody or under its control except with the prior written authority of the executive director."

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5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	Active	Storage	Total	8. REMARKS

		7. RETENTION PERIOD		RIOD	0. DE111.512
5. ITEM NO.	6. RECORD SERIES TITLE AND DESCRIPTION	Active	Storage	Total	8. REMARKS

9. Prepare	d by:	11. Recomme	nding Approval:	
	Name	_	Name	
		_		
	Position		Position	
10. Assiste	ed by:	12. Approved:	:	
	Name	_	Name	
	Position	_	Position	
	TO BE ACCOMPLISHED BY THE	NATIONAL ARCHIV	/ES OF THE PHILIPPINES	
This Rec	cords Disposition Schedule			
	is being returned for improvement / correctio is being recommended for approval	<i>ι</i> n		
	Chairman Pocorde Management Evaluation Committee			
	Records Management Evaluation Committee			
	Date	APPROVED:		
		_	Executive Director	
		_	Date	



Quality Management System

Procurement Preparation and Contract Management

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PRI-PCM-000

I. OBJECTIVE

The Philippine Railways Institute (PRI) adheres to the established national policy on government procurement pursuant to existing laws, rules, and regulations. This Manual seeks to provide the PRI personnel with clear, concise, and accurate information on the procurement of goods, consulting services, and infrastructure, by detailing the steps that need to be taken to effect such procurement, from the preparation of procurement documents, to the actual bidding activity, monitoring of contract implementation, and the final payment to the supplier.

II. SCOPE

This Manual shall cover the working procedure for the following processes:

- a. conduct of market study;
- b. preparation of procurement documents;
- c. evaluation and selection of bidders;
- d. procurement contract management;
- e. payment of supplier pursuant to the contract;
- contract management and
- g. performance evaluation of external service providers.

In accordance with the government procurement act and its implementing rules and regulations (IRR), the following are not subjected to procurement, thus, this Manual shall not be applicable:

- a. Procurement of Goods, Infrastructure Projects and Consulting Services funded from Foreign Grants covered by Republic Act (R.A) 8182, as amended by R.A. 8555, entitled "An Act Excluding Official Development Assistance (ODA) from the Foreign Debt Limit in order to Facilitate the Absorption and Optimize the Utilization of ODA Resources, Amending for the Purpose Paragraph 1, Section 2 of R.A. 4860, As Amended," unless the Government of the Philippines (GoP) and the foreign grantor/foreign or international financing institution agree otherwise;
- b. Acquisition of real property that shall be governed by R.A. 107523, entitled "An Act Facilitating the Acquisition of Right-Of-Way Site or Location for National Government Infrastructure Projects," and other applicable laws, rules and regulations; and
- c. Public-Private sector infrastructure or development projects and other procurement covered by R.A. 6957, as amended by R.A. 7718, entitled "An Act Authorizing the Financing, Construction, Operation and Maintenance of Infrastructure Projects by the Private Sector, and for Other Purposes," as amended: provided, however, that for the



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portions financed by the GoP, in whole or in part, the provisions of the R.A. 9184 and its IRR shall apply.

Moreover, the following are not considered as procurement activities, thus, likewise not subjected to this Manual:

- a. direct financial or material assistance given to beneficiaries in accordance with the existing laws, rules and regulations, and subject to the guidelines of the concerned agency;
- b. participation in local or foreign scholarships, training, continuing education, conferences, seminars, or similar activities that shall be governed by applicable Commission on Audit, Civil Service Commission, and Department of Budget and Management rules and regulations;
- c. lease of government-owned property as lessor for private use;
- d. hiring of personnel under the Job Order status;
- e. Joint Venture under the revised National Economic Development Authority (NEDA) guidelines; and
- f. disposal of property and other assets of the Government.

III. DEFINITION OF TERMS

Whenever used in this Manual, the following terms shall have the respective meanings hereinafter set forth:

TERM	DEFINITION
Approved Budget for the Contract	: Also called the ABC, refers to the budget for the contract duly approved by the Head of Procuring Entity (HoPE), as provided for in the General Appropriations Act (GAA), continuing, and automatic appropriations. For multi-year contracts, for which a Multi-Year Obligational Authority (MYOA) or an equivalent document is required, the ABC shall be incorporated in the project cost reflected in the MYOA or equivalent document.
Bid	: Refers to a signed offer or proposal to undertake a contract submitted by a bidder in response to and in consonance with the requirements of the bidding documents.
Bidding Documents	: Refer to the documents issued by the DOTr-PRI as the basis for bids, furnishing all information necessary for a prospective bidder to prepare a bid for the goods, infrastructure projects, and/or consulting services required.



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TERM	DEFINITION
Bids and Awards Committee	: Also called the BAC, refers to the Committee established in accordance with Rule V of the IRR of R.A. 9184.
Common-Use Supplies and Equipment	: Also called the CSE, refer to those goods, materials, and equipment that are used in the day-to-day operations of DOTr-PRI in the performance of their functions.
Competitive Bidding	: Refers to a method of procurement that is open to participation by any interested party and which consists of the following processes: advertisement, pre-bid conference, eligibility screening of prospective bidders, receipt and opening of bids, evaluation of bids, post-qualification, and award of contract. For purposes of, and throughout this Manual, the terms "Competitive Bidding" and "Public Bidding" shall have the same meaning and shall be used interchangeably.
Consulting Services	: Refer to services for infrastructure projects and other types of projects or activities of the GoP requiring adequate external technical and professional expertise that are beyond the capability and/or capacity of the GoP to undertake such as, but not limited to: (i) advisory and review services; (ii) pre-investment or feasibility studies; (iii) design; (iv) construction supervision; (v) management and related services; and (vi) other technical services or special studies. General principles on Consulting Services are provided for by the IRR of R.A. 9184.
Expendable Supplies	: Refer to articles that are normally consumed in use within one (1) year or converted in the process of manufacture or construction, or those having a life expectancy of more than one (1) year but which shall have decreased substantially in value after being put to use for only one (1) year (e.g., medicines, stationery, fuel, and spare parts).
Goods	: Refer to all items, supplies, materials, and general support services, except Consulting Services and infrastructure projects, which may be needed in the transaction of public businesses or in the pursuit of any government undertaking, project or activity, whether in the nature of equipment, furniture, stationery, materials for construction, or personal property of any kind, including non-personal or contractual services, such as, the repair and maintenance of equipment and furniture, as well as trucking, hauling, janitorial, security, and related or analogous services, as well as procurement of materials and supplies provided by the DOTr-PRI for such services. The term "related" or "analogous services" shall include, but is not limited to, lease of office space, media advertisements, health maintenance services, and other services essential to the operation of the DOTr-



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TERM	DEFINITION
	PRI.
Head of the Procuring Entity	: Also called the HoPE, refers to the head of the agency or body, or his duly authorized official, for national government agencies, provided, however, that in an agency, department, or office where the procurement is decentralized, the head of each decentralized unit shall be considered as the HoPE, subject to the limitations and authority delegated by the head of the agency, department, or office.
Infrastructure Projects	: Include the construction, improvement, rehabilitation, demolition, repair, restoration, or maintenance of roads and bridges, railways, airports, seaports, communication facilities, civil works components of information technology projects, irrigation, flood control and drainage, water supply, sanitation, sewerage and solid waste management systems, shore protection, energy/power and electrification facilities, national buildings, school buildings, hospital buildings, and other related construction projects of the Government. For purposes of, and throughout this Manual, the term "Infrastructure Projects" shall have the same meaning as, and shall be used interchangeably with, "civil works" or "works."
Non-expendable Supplies	: Refer to articles that are not consumed in use and ordinarily retain their original identity during the period of use, whose serviceable life is more than one (1) year and which add to the assets of the GoP (e.g., furniture, fixtures, transport and other equipment). For this Manual, the term non-expendable supplies shall include semi-expendable property.
Procurement	: Refers to the acquisition of goods, consulting services, and the contracting for infrastructure projects by the Procuring Entity. In case of projects involving mixed procurements, the nature of the procurement (i.e., Goods, Infrastructure Projects or Consulting Services) shall be determined based on the primary purpose of the contract. Procurement shall also include the lease of goods and real estate, and with respect to real property, its procurement shall be governed by the provisions of R.A. 10752 and other applicable laws, rules and regulations.
Procuring Entity	: Refers to any branch, constitutional commission or office, agency, department, bureau, office, or instrumentality of the GoP (NGA).

IV. REFERENCE DOCUMENTS

1. Department of Transportation's (DOTr) Office Order No. 2020-010 dated December 3, 2020, entitled "Revised Guidelines and Procedures in the Preparation, Submission, and Evaluation of Purchase Requests"



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- 2. R.A. No. 9184, entitled "The Government Procurement Reform Act"
- 3. Government Procurement Policy Board's (GPPB) Updated 2016 Revised Implementing Rules and Regulations (IRR) of R.A. No. 9184
- 4. GPPB Generic Procurement Manual Volume 1 Procurement Systems and Organizations
- 5. GPPB Generic Procurement Manual Volume 2 Procurement of Goods and Services
- 6. GPPB Generic Procurement Manual Volume 3 Procurement of Infrastructure Project
- 7. GPPB Generic Procurement Manual Volume 4 Procurement of Consulting Services
- 8. ISO 9001:2015 Standard Quality Management Systems, specifically *Clause 7.1. Resources* which mandates organizations to determine and provide the resources needed for the establishment, implementation, and maintenance of the Quality Management System



Quality Management System

Procurement Preparation and Contract Management

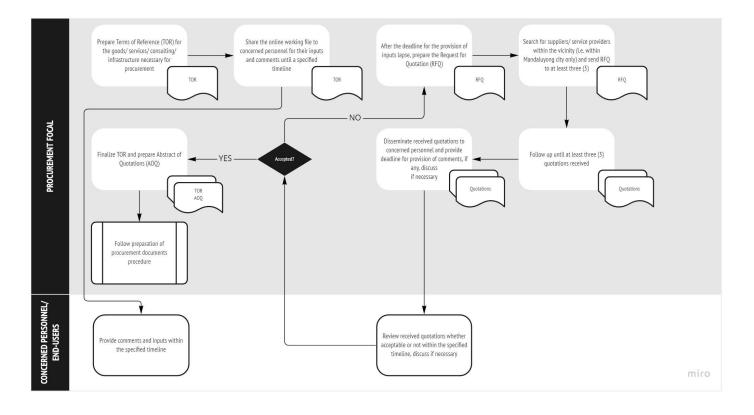
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V. CONDUCT OF MARKET STUDY

- a. **Timeline:** Within twenty (20) working days, depending on the nature of the goods and services to be procured, excluding the receipt of the quotations as it is not within the control of the action officer
- b. **Type of transaction:** Combination of internal transaction and external transaction [Government to Government (G2G); Government to Business (G2B); or Government to Citizen (G2C)]

c. Forms:

- 1. Terms of Reference
- 2. Request for Quotation
- 3. Abstract of Quotations





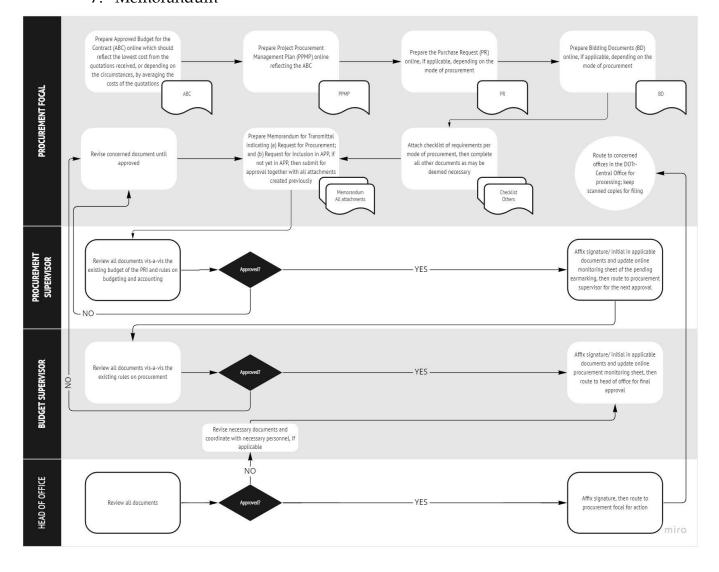
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VI. PREPARATION OF PROCUREMENT DOCUMENTS

- a. **Timeline:** Within five (5) working days
- b. Type of transaction: Internal transaction
- c. Forms:
 - 1. Checklist of Documentary Requirements
 - 2. Approved Budget for the Contract
 - 3. Project Procurement Management Plan
 - 4. Purchase Request, if applicable
 - 5. Bidding Documents, if applicable
 - 6. Justification, if applicable
 - 7. Memorandum





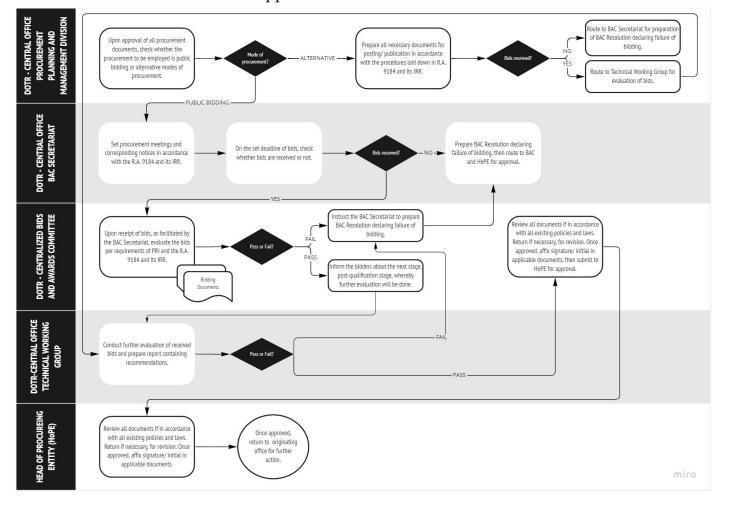
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VII. EVALUATION AND SELECTION OF BIDDERS

- a. Timeline: Per R.A. 9184 and its IRR
- b. **Type of transaction:** Combination of internal transaction and external transaction [Government to Government (G2G); Government to Business (G2B); or Government to Citizen (G2C)]
- c. General Documents involved:
 - 1. BAC Resolution
 - 2. Purchase Order/ Contract
 - 3. Notice of Award
 - 4. Notice to Proceed, if applicable





Quality Management System

Procurement Preparation and Contract Management

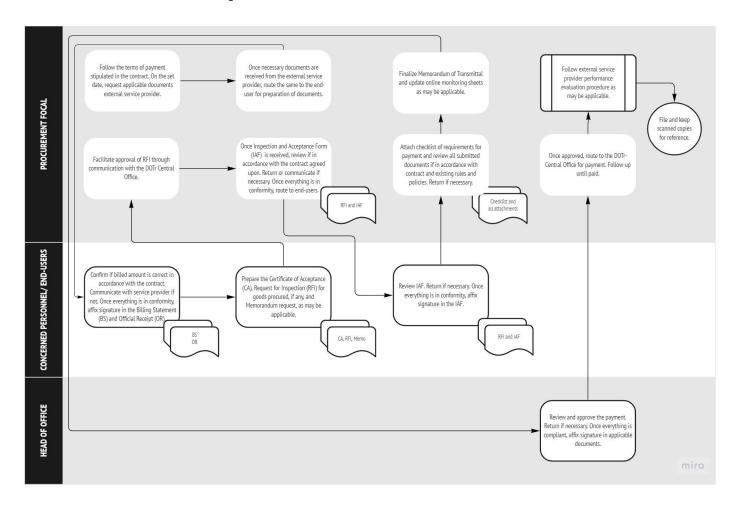
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VIII. PROCUREMENT CONTRACT MANAGEMENT

- a. **Timeline:** During the entire duration of the contract
- b. Forms:
 - 1. Contract Monitoring Sheet can be in an excel format; monitoring based on the TOR

IX. PAYMENT OF PROCUREMENT CONTRACT

- a. Timeline: Within one (1) week to one (1) month
- c. **Type of transaction:** Combination of internal transaction and external transaction [Government to Government (G2G); Government to Business (G2B); or Government to Citizen (G2C)]
- d. Forms:
 - 1. Certificate of Acceptance
 - 2. Inspection and Acceptance Form
 - 3. Memorandum
 - 4. Checklist of Requirements





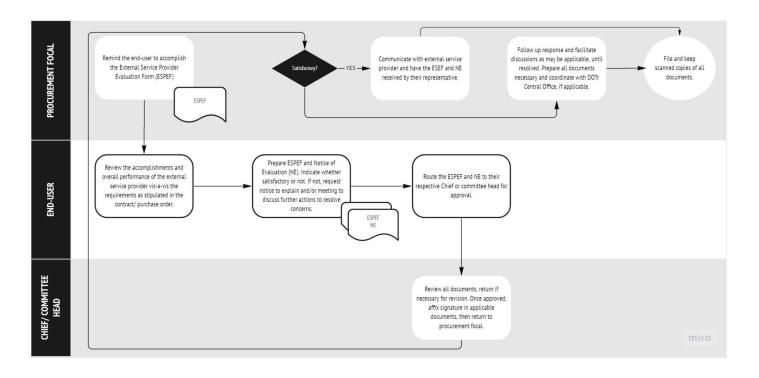
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X. PERFORMANCE EVALUATION OF EXTERNAL SERVICE PROVIDER

- a. **Timeline:** Within one (1) week to one (1) month from receipt of goods or completion of services
- b. **Type of transaction:** Combination of internal transaction and external transaction [Government to Government (G2G); Government to Business (G2B); or Government to Citizen (G2C)]
- c. Forms:
 - a. External Service Provider Evaluation Form
 - b. Notice of Evaluation
 - c. Memorandum





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XI. DISSEMINATION

This Manual shall be cascaded and information, education, and communication (IEC) materials may be created by the procurement focals as visual aids for its implementation.

XII. REVIEW AND AMENDMENT

This Manual shall be amended should there be changes in internal policies or general budgeting and accounting rules. It shall undergo appropriate review, approval, storage, and retention process in accordance with internal procedures on document management.

PREPARED BY:

REVIEWED BY:

IARCONELLE G. ESGUERR
Administrative Officer I,
Administrative and Finance
Section

ISRAEL A. RADIAGANDING Chief, Training Division Designated Procurement Supervisor

APPROVED BY:

ANNELI R. LONTOC, CESO I Undersecretary, DOTr OIC-ED, PRI

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PHILIPPINE RAILWAY INSTITUTE

Quality Management System

General Asset Management

DOC REF NO.:	PRI-GAM-001	
EFFECTIVITY DATE:	SEP 0 9 2022	
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I. OBJECTIVE

The Philippine Railways Institute (DOTr-PRI) has several properties in its operationalization of its mandate. As a government institution, all of its resources shall be managed, expended, or utilized in accordance with existing laws, rules, and regulations, and shall likewise be safeguarded against loss or wastage through illegal or improper disposition to ensure efficiency, economy, and effectiveness in its operations.

II. SCOPE

This Manual shall describe the general asset guidelines of the DOTr-PRI and its standards for storage and safekeeping of assets. It shall also cover the working procedure for the following processes:

- Delivery, Inspection, and Acceptance of Assets;
- 2. Preparation and Updating of Cards;
- 3. Preparation of Requisition and Issuance Slip (RIS);
- Issuance of Assets;
- Physical Movement of Assets;
- Conduct of Inventory/Physical Count of Assets;
- 7. Repair and Maintenance of Assets;
- 8. Asset Disposal; and
- Relief from Accountability.

III. DEFINITION OF TERMS

Whenever used in this Manual, the following terms shall have the respective meanings hereinafter set forth:

TERM	DEFINITION	
Accountable Officer	: Refers to any officer or employee of the Government who, by reason of his office or duties is required to have custody of government properties.	
Inventories	: Accounting term which refers to supplies, goods, and materials to be consumed or distributed in the rendering of services like office supplies.	
Inventory Committee	: Also refers to the personnel assigned as Division Supply Focals pursuant to relevant DOTr-PRI Office Orders on support personnel to the Administrative and Finance Section (AFS).	



Quality Management System

General Asset Management

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TERM	DEFINITION	
Property	: Includes vessels and craft, motor vehicles, machineries, permanent buildings, properties stored therein (i.e., furniture, fixtures, equipment, supplies and materials, etc.) or in the buildings rented by the Government, or properties in transit, the ownership of which had already passed to the Government.	
Property, Plant, and Equipment	 Also called PPE, are tangible items that are: purchased, constructed, developed, or otherwise acquired; held for use in the production or supply of goods or services or to produce program output; for rental to others (other than investment property); for administrative purposes; expected to be used during more than one reporting period; and not intended for resale in the ordinary course of operations. 	
Semi- Expendable Property	: Refer to tangible items which meet the definition and recognition of PPE, but below the capitalization threshold of Php50,000.00.	
Tangible Assets/ Items	: Are identifiable non-monetary assets with physical substance.	

IV. REFERENCE DOCUMENTS

- 1. Commission on Audit (COA) Circular No. 2022-004, dated 31 May 2022, entitled "Guidelines on the Implementation of Section 23 of the General Provisions of Republic Act (RA) No. 11639 also known as the General Appropriations Act (GAA) for Fiscal Year (FY) 2022 relative to the increase in the capitalization threshold from 15,000.00 to P50,000.00"
- 2. COA Circular NO. 2022-002, dated 24 January 2022, entitled "Conversion of Accounts from Volume III-The Revised Chart of Accounts (Updated 2015) of the Government Accounting Manual for National Government Agencies under COA Circular No. 2015-007 dated October 22, 2015 to Volume III-Revised Chart of Accounts (Update 2019) prescribed under COA Circular No. 2020-001 dated January 8, 2020, Revised Description of Accounts, Additional Account, Modified Account Titles, and Guidelines in the implementation thereof"
- 3. Executive Order (EO) No. 96, series of 2019, entitled "Establishing the Philippine Railways Institute under the Department of Transportation as the Planning, Implementing, and Regulatory Agency for Human Resources Development in the Railways Sector"



Quality Management System

General Asset Management

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- 4. COA Circular No. 2015-007 dated 22 October 2015, entitled "Prescribing the Government Accounting Manual for Use of All National Government Agencies"
- 5. ISO 9001:2015 Standard Quality Management Systems, specifically *Clause 7.1.3 Infrastructure* which mandates organizations to determine, provide, and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.
- 6. COA Circular No. 2005-002 dated 14 April 2005, entitled "Accounting Policy on Items with Serviceable Life of More Than One Year but Small Enough to be Considered as Property, Plant and Equipment"
- 7. COA Circular No 2003-007, dated 11 December 2003, entitled "Revised Estimated Useful Life in Computing Depreciation for Government Property, Plant and Equipment"
- 8. COA Memorandum No. 92-751, dated 24 February 1992, entitled "Documentation on Petitions/Requests for Relief from Accountability"
- 9. National Budget Circular No. 425, dated 28 January 1992, entitled "Manual on the Disposal of Government Property"

V. GENERAL ASSET GUIDELINES

- 1. As enshrined in the national policy ordering the establishment of the PRI, it is under the administrative supervision of the DOTr. Thus, all its support processes, including general asset management, heavily relies on the services and assistance of concerned DOTr-CO office/ division/ section/ unit/ personnel;
- 2. Small tangible items with estimated useful life of more than one (1) year but small enough to be considered as PPE are called *inventories*. These include office supplies such as black/whiteboard, sharpener, stapler, pen, scissor, mouse and mouse pad, printer cable, printer head, janitorial supplies, hardware and construction supplies, monoblock furniture, and others. A complete list of small tangible items is provided in *COA Circular No.* 2005-002 mentioned as one of the references of this Manual. Accordingly, these items shall be documented with an Inventory Custodian Slip (ICS) covered by an approved Requisition and Issue Slip (RIS);
- 3. Tangible items that meet the definition and recognition criteria of PPE but cost is below P50,000.00 shall be accounted as semi-expendable property;



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- 3.1. This shall be supported by the issuance of ICS to establish accountability of the end-user for the latter to become an accountable officer;
- 3.2. ICS shall be issued to the end-user and shall be renewed every three (3) years or every time there is a change in custodianship/user of the property;
- 3.3. The threshold shall be applied on an individual asset or per item basis; and
- 3.4. Each item within the bulk acquisition such as library books, small equipment, computer peripherals, work animals, and the like, will need to meet the amount of below P50,000.00 to be recognized as semi-expendable property;
- 4. The increase in the capitalization threshold from Pl5,000.00 to P50,000.00 shall be considered as a change in accounting policy and shall be applied retrospectively. It means that the new capitalization threshold of P50,000.00 shall be applied for all tangible items purchased in calendar year (CY) 2022 onwards and in the prior years;
- 5. For additional control and to safeguard the semi-expendable property considering that more valuable items shall be covered by the new capitalization threshold, the semi-expendable property shall be classified into two (2) categories:
 - 5.1. Low-valued items cost of each item is P5,000.00 or less; and
 - 5.2. High-valued items cost of each item is more than P5,000.00 but less than P50,000.00.
- 6. The accountability for semi-expendable property shall also be segregated based on a categorization, as follows:
 - 6.1. Low-valued items accountability shall be extinguished upon expiration of the estimated useful life, or upon return of the property before the end of its useful life, whether serviceable or unserviceable, to the DOTr-CO; and
 - 6.2. High-valued items accountability shall only be extinguished upon return of the item to the DOTr-CO or in case of loss, upon approval of the request for relief from property accountability, regardless of the expiration of the estimated useful life.
- 7. Upon expiration of the estimated useful life for low-valued semi-expendable property, the issued ICS to the end-user shall be automatically canceled;



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- 8. The end of its useful life means the end of the accountability of the end-user. However, if the low-valued semi-expendable property is deemed unserviceable before the end of its useful life, it shall be returned to DOTr-CO for cancellation of the ICS and proper asset disposal;
- 9. Another/new semi-expendable property of the same nature or use shall not be issued, unless justifiable, before the expiration of the estimated useful life or cancellation of the ICS previously issued to the end-user;
- 10. To serve as a guide, a range of estimated useful life per class is provided, as follows:
 - 10.1. Semi-Expendable Machinery and Equipment 5 to 15 years; and
 - 10.2. Semi-Expendable Furniture, Fixtures and Books 2 to 15 years
- 11. The above lifespan of semi-expendable property may be used unless a more appropriate estimated useful life of semi-expendable property is determined by the DOTr-PRI based on the nature of its operation and mission, among others;
- 12. Semi-expendable property shall be covered by the policies of International Public Sector Accounting Standard (IPSAS) 12-/Inventories. Hence, they are not subject to depreciation but subject to impairment;
- 13. Property movement shall be made only upon prior approval, recording, and verification as to description, condition, and quantity of the property to be moved.

VI. STORAGE AND SAFEKEEPING OF ASSETS

- 1. Storage of centralized assets (i.e., office supplies) shall be determined by the AFS Supply Officer considering the available resources;
- 2. Regular housekeeping and security of PRI's premises shall be done and implemented by the janitorial and security services provider contracted by the DOTr-CO;
- 3. Cleaning materials or any other hazardous chemicals shall not be stored in employees' rooms, but in designated areas with proper labeling;
- 4. All PRI personnel are enjoined to follow the rules on 5S housekeeping practices:
 - 4.1. Sort (Seiri): Remove all unnecessary items from the workplace;
 - 4.2. Set in Order (Seiton): Identify a specific location for everything;



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- 4.3. Shine (Seiso): Clean the work area;
- 4.4. Standardize (Seiketsu): Standardize the best practice within the workplace; and
- 4.5. Sustain: (Shitsuke) Never revert into the old, unorganized ways;
- 5. Proper signage shall be provided for all storage and non-storage rooms;
- 6. All determined storage areas shall be properly ventilated, in accordance with the manufacturer requirements, if any;
- 7. Windows shall be kept closed to avoid contamination or spoilage of expendable supplies;
- 8. Lightings are to be enclosed with shatterproof covers so as to ensure that food or food package surfaces are not contaminated by breakages;
- 9. Stocks are rotated according to the "First In, First Out" (FIFO) system or "First Expire First Out" (FEFO) system; and
- 10. All accountable officers are responsible for discharging other necessary and safe acts to ensure the integrity of their respective assets.

VII. DELIVERY, INSPECTION, AND ACCEPTANCE OF ASSETS

- 1. Upon notification by the service provider or donor of the asset that the asset will be delivered, the end-user shall prepare necessary Delivery Checklist (DC) in accordance with the agreement stating the description of the asset to be delivered;
- 2. On the actual date of delivery, the end-user, witnessed by the AFS Supply Officer, shall conduct a visual inspection of the asset delivered and accomplish the DC:
 - 2.1. If the delivery is found to be compliant with all the requirements set forth under the concerned agreement, then the end-user shall receive the assets through affixing signature on the Delivery Receipt (DR) and securing a copy thereof;
 - 2.2. If found to be non-compliant with any of the requirements set forth under the concerned agreement, then the end-user shall reject the delivery through indicating the reason for rejection of delivery in the DR and securing a copy thereof:
 - 2.2.1. Further, evidence (i.e., picture, acknowledgment of the representative, etc.) shall be secured by the end-user to support his claim and report the same to the management; and



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- 2.2.2. Have the representative of the service provider or donor sign the DC as proof of acknowledgment of the visual inspection conducted;
- 3. Upon completion of delivery, whether for a specific phase or not, depending on the agreed terms, the Division Supply Focal concerned shall prepare the Request for Inspection (RFI) and Memorandum of Transmittal documents and have it approved by their respective division chief;
- 4. Upon approval, the Division Supply Focal shall route it to the AFS Supply Officer for reference and subsequent endorsement to the DOTr-CO;
- 5. Upon actual transmittal of documents to the DOTr-CO, the AFS Supply Officer shall coordinate with concerned DOTr-CO personnel for the actual conduct of inspection and issuance of ICS/PAR;
- 6. The DOTr-CO personnel shall issue the ICS or PAR, whichever is applicable, and the Inspection and Acceptance Report (IAR) in accordance with their established procedures and timeline:
- 7. During the period of waiting for the relevant documents from DOTr-CO, the AFS Supply Officer shall determine its estimated useful life together with the end-user, and update its monitoring sheets
- 8. Upon receipt of the ICS/PAR and IAR, the AFS Supply Officer shall conduct initial review if it matches all relevant documents;
 - 8.1. If found to be not in order, re-route to the DOTr-CO for correction;
 - 8.2. If found to be in order, route the documents:
 - 8.2.1. To the accountable officer for the approval of the ICS/PAR; and
 - 8.2.2. To the division chief concerned for the acceptance to be reflected in the prepared IAR by the DOTr-CO;
- 9. Upon approval of relevant documents, the AFS Supply Officer shall secure the property tag or sticker from the DOTr-CO by preparing and routing to the concerned office a Memorandum Request with a copy of the IAR and ICS/PAR as attachments;



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- 10. Upon receipt of the property sticker or tag, the AFS Supply Officer shall ensure that the same is attached to the asset for proper identification;
- 11. At all applicable stages, the AFS Supply Officer shall retain relevant documented information; and
- 12. The AFS Supply Officer shall provide copies of the approved documents to the originating office of the DOTr-CO for their reference, as may be necessary;

VIII. PREPARATION AND UPDATING OF CARDS

- 1. All assets shall have its corresponding cards to promptly record the acquisition (based on the IAR and other supporting documents) and issuance, transfer, or disposal of the asset together with its description/information:
 - 1.1. Inventories Stock Cards (SC);
 - 1.2. Semi-Expendable Property Semi-Expendable Property Card (SEPC) and Registry of Semi-Expendable Property Issued; and
 - 1.3. Property, Plant, and Equipment *Property Card (PC)*;
- 2. Should there be several variations/ brands of each asset, each shall have corresponding its card;
- 3. For Stock Cards, the following procedure shall apply in the preparation and updating of such:
 - 3.1. In the "Item" field indicate the generic item name, i.e., "Sticky Notes";
 - 3.2. In the "Description" field indicate the brand name, pieces per pack/ set/ bundle/ etc., color, measurements, as may be applicable, i.e., "Post-It; 5 sets per pack; color yellow; 3"x2" size";
 - 3.3. In the "Unit of Measurement" field indicate the unit as bought and the unit for issuance, i.e., "*Pack as bought; Piece as issued*";
 - 3.4. In the "Stock No." field if it is an office supply found in PS-DBM, follow the stock no. used by PS-DBM, i.e. "14111531-PP-R01" for pad papers; for all other assets, utilize the United Nations Standard Products and Services Code® (UNSPC) Code of the particular asset, to be followed by "-01" should there be variations, i.e.,



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"45111609" for projectors or "45111609-01" for Acer Projector, "45111609-02" for Epson Projector, so on and so forth; if not found there, use "OTH-" to be followed by the sequence number, i.e. "OTH-001";

- 3.5. Discretion must be used in using UNSPC, i.e. there is no exact train simulator but there is one for "vehicle driving simulator" with code "25191736";
- 3.6. In the "Re-Order Point" field set a working estimated threshold for supplies considering the usage; for other assets, indicate the number of months/ years considering the estimated useful life of the property;
- 3.7. Under the "Date" column, indicate the date of when the asset was received in MM/DD/YYYY, i.e., "08/04/2022";
- 3.8. Under the "Reference" column, indicate the source of the asset:
 - 3.8.1. if procured, indicate the P.O. number or contract number reference;
 - 3.8.2. if from petty cash, indicate so the O.R. No. or other reference;
 - 3.8.3. if from donation, indicate donation reference number or its equivalent; if from other sources, indicate so the specific source;
- 3.9. Ensure that such reference is attached to the SC;
- 3.10. Under the "Qty." sub-column of the "Receipt" column, indicate the number based from the reference indicated and Unit of Measurement to be used for issuance i.e., instead of 100 packs as issued, state "500 sets" since 5 sets are included in 1 pac, thus 5 setx 100 packs, it is equivalent to 500 sets;
- 3.11. It shall be stored in a secure place and an online copy of such shall be maintained;
- 3.12. The SC shall be updated weekly per issuance of office supplies as evidenced by the approved RIS;
- 3.13. To document such issuance, begin new entries following the last entry;
- 3.14. Under the "Date" column, indicate the date of issuance of asset in MM/DD/YYYY, i.e., "08/04/2022";



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- 3.15. Under the "Reference" column, indicate the document number of the basis of such issuance;
- 3.16. Ensure that such reference is attached to the SC together with other relevant documents;
- 3.17. Under the "Qty." sub-column of the "Issue" column, indicate the actual quantity issued, not requested, based from the approved RIS, together with the Unit of Measurement as issued;
- 3.18. Under the "Office" sub-column of the "Issue" column, indicate the name of the division/ section/ committee involved as reflected in the RIS;
- 3.19. Under the "Qty." sub-column of the "Balance" column, indicate the number of remaining quantity of the asset;
- 3.20. Under the "No. of Days to Consume" column, indicate the number of days between the current entry and the previous entry, based from the dates stated under the "Date" column;
- 3.21. Thereafter, it shall be kept in a secure place and changes shall be reflected in the online copy of the SC;
- 4. For the Semi-Expendable Property Card (SEPC), the following procedure shall apply:
 - 4.1. In the "Semi-Expendable Property" field, indicate the generic name of the item, i.e., "Projector";
 - 4.2. In the "Description" field indicate the brand name, pieces per pack/ accessories/ set/ bundle/ etc., color, measurements, as may be applicable, i.e., "Acer Projector with bag cover and accessories battery pack, HDMI cord, VGA cord";
 - 4.3. In the "Semi-Expendable Property Number" field the code provided by the UNSPC shall be followed, i.e., "45111609" for projectors; if not found there, use "OTH-" to be followed by the sequence number, i.e. "OTH-001";
 - 4.4. Under the "Date" column, indicate the date of when the asset was received in MM/DD/YYYY, i.e., "08/04/2022";
 - 4.5. Under the "Reference" column, indicate the source of the asset:



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- 4.5.1. if procured, indicate the P.O. number or contract number reference;
- 4.5.2. if from petty cash, indicate so the O.R. No. or other reference;
- 4.5.3. if from donation, indicate donation reference number or its equivalent; if from other sources, indicate so the specific source;
- 4.6. Ensure that such reference is attached to the SC together with other relevant documents;
- 4.7. Under the "Qty." sub-column of the "Receipt" column, indicate the number based from the reference indicated and Unit of Measurement to be used for issuance i.e., "1 Set";
- 4.8. Under the "Unit Cost" and "Total Cost" sub-columns of the "Receipt" column, indicate the acquisition price per Unit of Measurement and provide the total cost in its respective column;
- 4.9. It shall be stored in a secure place and an online copy of such shall be maintained;
- 4.10. The SEPC shall be updated weekly as evidenced by the applicable forms evidencing issuance, transfer, and disposal of semi-expendable properties;
- 4.11. To document such issuance, transfer, or disposal, begin new entries following the last entry;
- 4.12. Under the "Date" column, indicate the date of issuance, transfer, or disposal of asset in MM/DD/YYYY, i.e., "08/04/2022";
- 4.13. Under the "Reference" column, indicate the document number of the basis of such issuance;
- 4.14. Ensure that such reference is attached to the SEPC together with relevant documents;
- 4.15. Under the "Item No." sub-column of the "Issue/Transfer/Disposal" column, indicate the semi-expendable property number, followed by "-01" to indicate variations, i.e., "45111609-01" for Acer Projector, "45111609-02" for Epson Projector, so on and so forth;



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- 4.16. Under the "Qty." sub-column of the "Issue/Transfer/Disposal" column, indicate the quantity of the items issued, transferred, or disposed;
- 4.17. Under the "Office/Officer" sub-column of the "Issue/Transfer/Disposal" column, indicate the name of the division/ section/ committee/ individual the same is issued, transferred, or disposed to;
- 4.18. Under the "Qty." sub-column of the "Balance" column, indicate the number of remaining quantity of the asset;
- 4.19. Under the "Amount" column, indicate the cost of the asset involved based on reference documents attached;
- 4.20. Update the "Remarks" column as may be necessary;
- 4.21. Thereafter, it shall be kept in a secure place and changes shall be reflected in the online copy of the SEPC; and
- 4.22. At the same manner, the SEPC shall have its own Registry of Semi-Expendable Property Issued (RSEPI) and the same shall be updated accordingly;
- 5. For the Property Card, the following procedure shall apply:
 - 5.1. In the "Property, Plant, and Equipment" field, indicate the generic name of the item, i.e., "*Train Simulator*";
 - 5.2. In the "Description" field indicate the brand name, serial number, model, and others, as may be applicable, i.e., "With two (2) mock-up trains";
 - 5.3. In the "Property Number" field the code provided by the UNSPC shall be followed, i.e. "vehicle driving simulator" with code "25191736"; if not found there, use "OTH-" to be followed by the sequence number, i.e. "OTH-001";
 - 5.4. Under the "Date" column, indicate the date of when the asset was received in MM/DD/YYYY, i.e., "08/04/2022";
 - 5.5. Under the "Reference" column, indicate the source of the asset:
 - 5.5.1. if procured, indicate the P.O. number or contract number reference;
 - 5.5.2. if from petty cash, indicate so the O.R. No. or other reference;



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- 5.5.3. if from donation, indicate donation reference number or its equivalent; if from other sources, indicate so the specific source;
- 5.6. Ensure that such reference is attached to the SC together with other relevant documents;
- 5.7. Under the "Qty." sub-column of the "Receipt" column, indicate the number based from the reference indicated and Unit of Measurement to be used for issuance i.e., "1 Set";
- 5.8. It shall be stored in a secure place and an online copy of such shall be maintained;
- 5.9. The PC shall be updated weekly as evidenced by the applicable forms evidencing issuance, transfer, and disposal of semi-expendable properties;
- 5.10. To document such issuance, transfer, or disposal, begin new entries following the last entry;
- 5.11. Under the "Date" column, indicate the date of issuance, transfer, or disposal of asset in MM/DD/YYYY, i.e., "08/04/2022";
- 5.12. Under the "Reference" column, indicate the document number of the basis of such issuance;
- 5.13. Ensure that such reference is attached to the PC together with relevant documents;
- 5.14. Under the "Qty." sub-column of the "Issue/Transfer/Disposal" column, indicate the quantity of the items issued, transferred, or disposed;
- 5.15. Under the "Office/Officer" sub-column of the "Issue/Transfer/Disposal" column, indicate the name of the division/ section/ committee/ individual the same is issued, transferred, or disposed to;
- 5.16. Under the "Qty." sub-column of the "Balance" column, indicate the number of remaining quantity of the asset;
- 5.17. Under the "Amount" column, indicate the cost of the asset involved based on reference documents attached;
- 5.18. Update the "Remarks" column as may be necessary;



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- 5.19. Thereafter, it shall be kept in a secure place and changes shall be reflected in the online copy of the PC; and
- 5.20. In the same manner, the PC shall, whether physical copy or online, shall be updated accordingly.

IX. PREPARATION OF REQUISITION AND ISSUE SLIP

- 1. Assets needed by the end-user shall undergo proper request before the issuance of the supplies requested; and
- 2. Procedures on the preparation of the RIS shall be as follows:
 - 2.1. Upon receipt of request from the concerned end-user of needed supply and confirming its availability, the concerned Division Supply Focal shall prepare the Requisition and Issuance Slip (RIS);
 - 2.2. In the "Division" field, indicate the section or the committee requesting the supply/ stock;
 - 2.3. Under the "Requisition" column, on the "Stock No." sub-column, copy the stock code of the item reflecting in the database;
 - 2.4. Under the "Quantity" sub-column, indicate the quantity desired;
 - 2.5. In the "Purpose" field, indicate the complete purpose of the supply requested;
 - 2.6. The Division Supply Focal shall route the filled-out RIS to the immediate supervisor for approval or the committee head for approval of request;
 - 2.7. The immediate supervisor shall review and approve the request. Return if necessary, once signature is affixed, route to the Division Supply Focal;
 - 2.8. The Division Supply Focal shall submit the signed RIS to the AFS Supply Officer;
 - 2.9. The AFS Supply Officer shall follow the procedure on the issuance of assets (Art. VIII of this Manual); and
 - 2.10. The AFS shall file and keep the scanned copies and shall provide a copy of all documents to the Division Supply Focal;



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- 3. There shall be two (2) copies of the RIS:
 - 3.1. Copy 1 For the AFS Supply Officer; and
 - 3.2. Copy 2 For the Requesting Party

X. ISSUANCE OF ASSETS

- 1. Once the assets are officially turned over from the DOTr-CO to the DOTr-PRI, the subsequent issuance of assets shall be covered by the following procedures:
 - 1.1. In the "RIS No." field, the AFS Supply Officer shall indicate the reference number of the RIS received;
 - 1.2. The AFS Supply Officer shall then check on the inventory sheet whether the stocks are available or not;
 - 1.3. If the requested supply is not available, place a checkmark under the "No" sub-column of the "Stock Available?" column;
 - 1.4. If the requested supply is available, place a checkmark under the "Yes" sub-column of the "Stock Available?" column;
 - 1.5. Under the "Quantity" sub-column of the "Issue" column, indicate the number of items to be issued including the unit of measurement. It can be lesser than the amount requested, based on the sound discretion of the AFS Supply Officer;
 - 1.6. Under the "Remarks" sub-column of the "Issue" column, the AFS Supply Officer shall indicate the reason for non-issuance or any advice to the end-user; for lesser quantities issued, indicate the reason and basis for such;
 - 1.7. The AFS Supply Officer shall prepare the Inventory Transfer Report (ITR)/ Property Transfer Report (PTR) of the asset (one ITR/PTR per asset) to be issued and directly issue the same to the end-user;
 - 1.8. Once received by the concerned end-user, affix signature in the "Received by" portion of the RIS;
 - 1.9. The AFS Supply Officer shall update the SC (physical and online) of the asset issued to reflect such issuance; and



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1.10. The AFS Supply Officer shall file and keep scanned copies of all documents.

XI. PHYSICAL MOVEMENT OF ASSETS

- 1. Whenever assets are moved from one place to another not within the building or assets are to be used outside the DOTr-PRI premises shall be accompanied by an approved Gate Pass;
- 2. Concerned personnel shall request the same at least three (3) working days from the intended date of moving the asset, unless the circumstances warrant immediate action;
- 3. The following are the procedures that shall be followed:
 - 3.1. Two (2) copies accomplished by the requesting party shall be submitted to the AFS Supply Officer for action;
 - 3.2. The AFS Supply Officer shall ensure that:
 - 3.2.1. There is no conflict on the date requested;
 - 3.2.2. Should there be conflict, have it resolved by both requesting party;
 - 3.2.3. The person bringing out the asset is the accountable officer of the asset;
 - 3.2.4. Should the person above is not the accountable officer of the asset, the approved Equipment Borrower's Slip is attached;
 - 3.2.5. The condition of the asset is still good for use;
 - 3.2.6. The destination is not a danger zone;
 - 3.2.7. The complete description of the asset is reflected; and
 - 3.2.8. The date when the asset shall be returned is acceptable and reasonable based on sound judgment;
 - 3.3. Should there be discrepancies or vagueness in the document, the AFS Supply Officer may return or cause upon the revision of the document by returning the same to the requesting party until the above enumeration is ensured;
 - 3.4. Once recommended for approval by the AFS Supply Officer, the same shall affix his/her initial below the Designated Asset Supervisor's name and route to the latter for approval;
 - 3.5. The Designated Asset Supervisor shall review the document and cause upon the revision of the document by returning the same to the AFS Supply Officer with instructions until accepted;



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- 3.6. Once accepted, the Designated Asset Supervisor shall affix his/her signature on top of his/her name and route to the AFS Supply Officer for further action;
- 3.7. The AFS Supply Officer shall retain documented information of the approved Gate Pass and return one (1) original copy and one (1) photocopy to the concerned personnel;
- 3.8. Upon receipt of both copies, the requesting party shall retain the photocopy for his/her record;
- 3.9. On or before the date of movement of asset, the asset may be physically turned over to the requesting party;
- 3.10. On the date of movement of asset, the requesting party shall present and leave the original copy to the Security Guard for visual inspection of the asset prior allowed for release;
- 3.11. On the date of return of the asset, the requesting party shall present the asset for visual inspection of the Security Guard and thereby secure the original copy left to the Security Guard with the latter's remarks;
- 3.12. The requesting party shall return the original copy of the Gate Pass with remarks to the AFS Supply Officer who shall conduct visual inspection of the asset to ensure that it is the same asset described in the document; and
- 3.13. Should the requesting party be not the same as the accountable officer of the property, the former shall return the asset to the latter unless otherwise agreed upon by both parties.

XII. CONDUCT OF INVENTORY/ PHYSICAL COUNT OF ASSETS

- 1. To ensure integrity of custodianship of assets, physical count of all assets of the DOTr-PRI shall be conducted, annually in case of PPEs, and semi-annually in case of inventories;
- 2. The PRI Inventory Committee (PRI-IC) shall spearhead the conduct of inventory or physical count of assets;
- 3. The PRI-IC shall convene on the date of its discretion to plan the inventory-taking activity to be conducted. Outputs of the meeting shall be:



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- 3.1. The Notice of Conduct of Physical Count of Assets through a Memorandum which indicates the cut-off of issuance of assets;
- 3.2. The invitation to the DOTr-CO as observer for the activity;
- 3.3. The Inventory Count Form to be used considering the following documents or records as basis:
 - 3.3.1. Property Card;
 - 3.3.2. Semi-Expendable Property Card;
 - 3.3.3. Stock Card;
 - 3.3.4. Gate Pass;
 - 3.3.5. Inventory Transfer Report;
 - 3.3.6. Property Acknowledgment Receipt;
 - 3.3.7. Inventory Custodian Slip;
 - 3.3.8. Deed of Donation; and
 - 3.3.9. Other documents or records relevant to the inventory
- 3.4. Identify specific assignments of committee members on who shall be responsible on the following tasks:
 - 3.4.1. Check the asset description as listed in the reference documents and state its present condition;
 - 3.4.2. Note which asset has no property sticker/barcode, if necessary;
 - 3.4.3. List all assets that are found to be not accounted for or not listed in the reference documents and indicate the condition of the property in the remarks portion of the inventory sheet; and
 - 3.4.4. List all assets that are found to be missing on the actual conduct of inventory-taking activity
- 4. The PRI-IC shall ensure dissemination of the Notice prior actual conduct of physical count of assets;
- 5. On the scheduled day of inventory-taking, the PRI-IC members shall ensure that assignments are performed accordingly;



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- 6. Within seven (7) working days after the inventory-taking, the PRI-IC shall reconcile the results of the activity with the property records. All discrepancies between the physical count and records shall be reported to the accountable officers concerned and reconciled immediately;
- 7. The PRI-IC shall prepare and submit the following reports within twenty (20) working days from the conduct of inventory-taking:
 - 7.1. Report on Physical Count of Property, Plant, and Equipment (RPCPPE);
 - 7.2. Report on Physical Count of Inventories (RPCI); and
 - 7.3. Report on Physical Count of Semi-Expendable Property (RPCSEP)
- 8. Upon approval of these reports, the PRI-IC shall provide the second original copy of the aforementioned reports to the DOTr-CO for their reference; and
- 9. The PRI-IC shall retain documented information of these documents.

XIII. REPAIR AND MAINTENANCE OF ASSETS

- 1. Property repair and maintenance is necessary for the purpose of attaining and/or extending the established standard economical and useful life of a property;
- 2. For purposes of repair and maintenance, this includes the assets not owned by DOTr-PRI but utilized by the same for its operations;
- 3. For proper maintenance of assets, the PRI-IC shall prepare an Annual Maintenance Plan (AMP) and its corresponding Inspection and Maintenance Checklists (IMC) before the end of every calendar year, following the timelines in this Manual and the Manual pertaining to the management of ICT resources to determine the maintenance activities to be conducted within the following calendar year:
 - 3.1. The PRI-IC shall conduct its preventive maintenance activities in accordance with the timeline set forth in the approved AMP; and
 - 3.2. Notice of Maintenance Activity through Memorandum shall be issued to notify the concerned personnel of the disruption of services, as may be applicable;



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- 4. For repair of assets, no repair of shall be undertaken if the cost of repair shall exceed thirty (30) percent (30%) of the current market price of the same or similar equipment, as evidenced by market study conducted;
- 5. Any DOTr-PRI personnel may report unserviceable assets at any given time through the accomplishment of Repair and Maintenance Request Form (RMR) and submission to the AFS Supply Officer;
- 6. Upon receipt of the RMR, the AFS Supply Officer shall:
 - 6.1. If the asset is still covered under warranty or any relevant agreement by a service provider, contact the service provider to schedule the repair and maintenance of the unserviceable asset;
 - 6.1.1. On the scheduled date of repair and maintenance by the service provider, accompany their representative to witness the activity conducted;
 - 6.1.2. Await the feedback from service provider on the recommended actions to be undertaken or if already repaired;
 - 6.1.3. Undertake necessary actions to repair the asset unless the cost of repair exceeds 30% as stated in Art. IV (4) of this Manual; and
 - 6.1.4. Should the cost exceed 30% of repair, then proceed to the process of asset disposal.
 - 6.2. If the asset is no longer covered under warranty, report the same to the IC Head within one (1) working day to assign a personnel to conduct an inspection on the reported unserviceable asset(s);
 - 6.2.1. Within seven (7) working days from the receipt of the assignment, the assigned PRI-IC member shall conduct the inspection and perform standard troubleshooting acts as may be applicable, through the accomplishment of the IMC and application of sound judgment on the condition of the asset:
 - 6.2.2. During the repair/maintenance work, at least one personnel from the IC must be present to witness and affirm completion of work;
 - 6.2.3. Within seven (7) working days thereafter, regardless of the results of the inspection and maintenance activity conducted, the assigned PRI-IC



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member shall prepare a report on the work done through a Memorandum addressed to the PRI-IC Head stating the following:

- 6.2.3.1. Results of the Inspection and Maintenance Activity;
- 6.2.3.2. If not resolved, recommendations on further actions and basis of such shall be indicated therein; and
- 6.2.3.3. Attach the copy of the IMC.
- 7. The AFS Supply Officer shall provide adequate notice to affected personnel on the actions taken, whether already operational, on extended preventive maintenance, or for disposal; and
- 8. The AFS Supply Officer shall retain relevant documented information.

XIV. ASSET DISPOSAL

- 1. Disposal of assets shall be based on the existing national policies or procedures on disposal of government property at the time of occurrence;
- 2. Actual disposal of assets shall be conducted by the DOTr-CO in accordance with their established timelines;
- 3. The PRI-IC shall check whether the asset falls under any of the following conditions for the same to be flagged for disposal:
 - 3.1. Assets that cannot be returned to a serviceable condition when repaired or reconditioned;
 - 3.2. Assets whose repair and reconditioning costs would cost more than the current value (base value depreciated value);
 - 3.3. Assets that have become obsolete due to changes in technology; and
 - 3.4. Assets deemed unnecessary due to a change in the Institute's mandate or function;
 - 3.5. Unused supplies and materials that have become dangerous to use because of long storage or use which is determined to be hazardous; and



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- 3.6. Waste materials which result from the consumption or utilization of expendable materials, and covers damaged equipment parts, auto parts, empty containers, and remnants salvaged from destroyed or damaged PPE;
- 4. As soon as it is determined that the asset is already for disposal, the AFS Supply Officer shall accomplish the following as may be applicable:
 - 4.1. Inventory and Inspection Report of Unserviceable Property (IIRUP) for those assets beyond the capitalization threshold;
 - 4.2. Inventory and Inspection Report of Unserviceable Semi-Expendable Property (IIRUSP) for those assets below the capitalization threshold; or
 - 4.3. Waste Materials Report (WMR) for those waste materials resulting from consumption or utilization of expendable materials, and covers damaged equipment parts, empty containers, and remnants salvaged from destroyed or damaged property and PPE.
- 5. This shall be approved by the respective accountable officers and Head of Office; and
- 6. Upon approval, the AFS Supply Officer shall prepare a transmittal Memorandum to the DOTr-CO for its concerned personnel to act on the said documents.

XV. RELIEF FROM ACCOUNTABILITY

- 1. Every officer accountable for government property shall be liable for its money value in case of improper or unauthorized use or misapplication thereof, by himself or any person for whose acts he may be responsible. He/she shall likewise be liable for all losses, damages, or deterioration occasioned by negligence in the keeping or use of the property, whether or not it be at the time in his actual custody;
- 2. The aforementioned liability shall be subject to the principle of shared responsibility of both the accountable officer and the person upon whom the physical custody/possession of property is entrusted as evidenced by the ITR/PTR;
- 3. The aforementioned principle shall mean that while the accountable officer is liable to the DOTr-PRI in case of loss or damage to property which is issued under his/her name, any person upon whom the physical custody/possession of property is entrusted shall be liable to the accountable officer for any amount spent for the settlement of the latter's liability;



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- 4. The person mentioned above shall include COS/JO Workers who are issued properties in accordance by virtue of the ITR/PTR, and other persons who are permitted to have temporary custodianship of a property, regardless of the status of employment in the DOTr-PRI;
- 5. Accountability, which also refers to the accountable officers' obligation to carry out their responsibility to safe-keep properties in conformity with the law and be answerable for their decisions and activities relating to properties which are under their custody, shall only be extinguished upon return/turnover of the property, or in case of loss or damage to the property, upon approval of the request for relief from property accountability, or payment of the money value of the property;
- 6. For these reasons, officials and employees of this DOTr-PRI should exercise due diligence in the safekeeping and safeguarding of the properties under their custody, and use the same for official use only;
- 7. In keeping with these principles, the DOTr-PRI recognizes the contribution of Division Supply Focals in every division, who will assist in the regulation of receipt, safekeeping, maintenance and utilization and inventory of all properties of the DOTr-PRI;
- 8. Accounting, Turn-Over or Surrender of Properties on Account of Personnel Movement:
 - 8.1. Cancellation of Property Accountability:
 - 8.1.1. In order to effect cancellation of accountability and to secure proper clearance certificate in the event of personnel movement, accountable officers shall turnover or surrender to their respective Division Chief all properties issued to them.
 - 8.1.2. Turn-over of properties shall be done as follows:
 - 8.1.2.1. Retirement/ transfer to another government agency/ detail/ separation from the service two (2) months before the effectivity of retirement;
 - 8.1.2.2. Promotion/reassignment/transfer from one organizational unit within the DOTr one (1) month before the effectivity of appointment/assumption of duty;
 - 8.2. Issuance of Clearance from Property Accountability:



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- 8.2.1. Personal/ Official travel of PRI personnel may require approved Property Clearance Certificate (PCC) by the immigration personnel of the national airports to authorize departure;
- 8.2.2. As such, the PCC shall be issued immediately upon cancellation of property accountability;
- 8.2.3. Issuance of PCC shall nevertheless be without prejudice to any other accountability that may be discovered later on; and
- 8.2.4. Said PCC shall cease to be valid for its purpose and until the specified timeline;
- 8.3. Inventory of Assets in the Event of Death of Accountable Official or Employee:
 - 8.3.1. In the event of death of the accountable officer, the PRI-IC shall immediately take the inventory of all assets issued to him/her and recover the same through any legal means;
 - 8.3.2. All other missing assets, if any, issued in the name of the deceased shall be certified by his/her immediate supervisor as "loss of property" stating therein the steps taken to recover the same. This shall be the basis for the dropping of accountability;
- 9. Facilitation of Request for Relief from Property Accountability
 - 9.1. Whenever warranted or when the loss or damage to property is caused by fire, theft, or other casualty or force majeure, the accountable officer may, in accordance with national accounting policies, request the Commission on Audit to relieve him/her from property accountability upon recommendation of the Head of Office, as the case maybe;
 - 9.2. In facilitating the request for relief from property accountability, the following procedures must be observed:
 - 9.2.1. Within 72 hours from the occurrence of loss, the accountable officer having custody thereof shall immediately notify the COA through the accomplishment of the Report of Lost, Stolen, Damaged, or Destroyed Semi-Expendable Property (RLSDDSP) Form for assets below the capitalization threshold or Report of Lost, Stolen, Damaged, Destroyed Property (RLSDDP) Form for assets beyond the capitalization threshold;



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- 9.2.2. Within 30 days from the occurrence of loss, the accountable officer worker may present his/her application for relief to the COA Auditor with the following required documents:
 - 9.2.2.1. Affidavit executed by the accountable office/person stating the following facts:
 - 9.2.2.1.1. Property lost and its valuation;
 - 9.2.2.1.2. Actual date in which the absence was first noted;
 - 9.2.2.1.3. Manner of disappearance;
 - 9.2.2.1.4. Efforts put to recover the same;
 - 9.2.2.1.5. Provisions made to safeguard the property; and
 - 9.2.2.1.6. Date when the loss was reported to the COA Auditor and the police authorities
 - 9.2.2.2. Joint affidavit of two (2) disinterested persons cognizant of the facts and circumstances about the loss. In case it is not possible to obtain the statement of two (2) persons and only one is available or none at all, such fact should be set forth in the affidavit of the person requesting relief, giving the reason/s therefore;
 - 9.2.2.3. If applicable, final police report/s showing the steps taken by the police authorities to recover the property lost and to apprehend the suspect/s, and the present status of the case;
 - 9.2.2.4. Certification from Police/Fire/Chief/Provincial Governor/Mayor or other competent authority as to the destruction brought by natural calamity and/or insurgency;
 - 9.2.2.5. Inspection Report on the extent of damage of insured property;
 - 9.2.2.6. Copy of Property Accountability Receipt (PAR)/ICS covering the lost property.
- 9.3. Action on said request shall solely be on the discretion of the COA;



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- 10. Replacement/Reimbursement/Repair of Lost or Damaged Equipment or Properties
 - 10.1. When loss or damage to property occurs in circumstances other than those mentioned in Ar. XIV (9.1) of this Manual, accountable officers may submit a request for the replacement or reimbursement of the money value of the lost property or payment of cost of repair of the damaged property, within thirty (30) days from the occurrence of loss;
 - 10.2. The aforementioned request shall be endorsed by the Head of Office for approval and/or appropriate resolution;
 - 10.3. In case of replacement, the following factors shall be considered:
 - 10.3.1. The replacement unit must be of similar or higher specification than that of the unit sought to be replaced;
 - 10.3.2. The replacement unit must be in good working condition, regardless of the lost property's condition at the time of loss; and
 - 10.3.3. The replacement of the lost property is more advantageous to the government. Otherwise, payment of the money value of the property shall be required;
 - 10.4. Final resolution shall rely on the COA's recommendations.

XVI. SUMMARY OF ALL FORMS

- 1. Given the number of forms used in this Manual and its different application, below is the summary list and description of such, classified into COA-prescribed forms and internal control forms;
- 2. COA-prescribed forms:

NO.	FORM	DESCRIPTION	PERSONS INVOLVED
1	Inspection and Acceptance Report (IAR)	Report on the inspection and acceptance, respectively, of the purchased supplies/goods/ equipment/property.	Central Office; and • Accepted by PRI Concerned Division



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2	Inventory Custodian Slip (ICS)	Form to issue tangible items amounting to less than P50,000 to the end-user to establish accountability over them.	 Prepared by DOTr Central Office; and Received by the Supply Officer/ Enduser
3	Inventory and Inspection Report of Unserviceable Property (IIRUP)	Report prepared as a basis to record dropping from the books the unserviceable properties carried in the PPE accounts.	 Prepared by Supply Officer; and Acted upon by the DOTr-CO
4	Inventory and Inspection Report of Unserviceable Semi- Expendable Property (IIRUSP)	Report prepared to account for all unserviceable semi- expendable property of an entity which is subject to disposal.	 Requested by Accountable Officer; Approved by Head of Office; and Acted upon by the DOTr-CO
5	Inventory Transfer Report (ITR)	Report used every time there is transfer of inventory such as donation, reassignment, relocation, and the like from an outgoing officer to his successor or from one accountable officer/employee to another, or from DOTr-PRI to another office/agency.	 Prepared by Accountable Officer; Approved by Head of Office; Released/ Issued by Supply Officer/ Accountable Officer; and Received by new Accountable Officer
6	Property Acknowledgement Receipt (PAR)	Form used to record the issue of PPE to the end-user; and shall be renewed every three years or every time there is a change in custodianship/ user of the property.	 Prepared by DOTr Central Office; and Received by the Supply Officer/ Enduser
7	Property Card (PC)	Card maintained to promptly record the acquisition (based on the IAR and other supporting documents), issue/transfer/disposal and the description/information about the asset.	 Prepared by AFS Supply Officer; and Noted by Designated Asset Supervisor



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8	Property Transfer Report	Report used when there are transfers of property from one Accountable Officer/Agency/ to another Accountable Officer/Agency.	 Prepared by Accountable Officer; Approved by Head of Office; Released/ Issued by Supply Officer/ Accountable Officer; and Received by new Accountable Officer
9	Requisition and Issue Slip (RIS)	Form used to request supplies/ goods/ equipment/ property carried in stock.	 Requested by Division Supply Focal; Approved by Division Chief/Committee Head; and Issued by Supply Officer
10	Receipt of Returned Semi-Expendable Property (RRSP)	For returned semi- expendable property whether serviceable or unserviceable.	 Returned by Accountable Officer; and Received by Supply Officer
11	Report of Lost, Stolen, Damaged, or Destroyed Semi- Expendable Property (RLSDDSP)	Used to report or notify within 30 days the officials concerned of the loss, theft, damage, or destruction of the semi-expendable property whether issued or unissued. This shall support the subsequent request for relief from property accountability.	 Certified by Accountable Officer; Noted by Immediate Supervisor; and Notarized by Notary Public
12	Report of Lost, Stolen, Damaged, Destroyed Property (RLSDDP) -	Form used to report or notify the auditor of the COA, the Chief Accountant and all others concerned of the lost, stolen, damaged or destroyed property.	 Certified by Accountable Officer; Noted by Immediate Supervisor; and Notarized by Notary Public
13	Report on the Physical Count of	Form used to report the physical count of inventory	• Certified Correct by PRI-IC Head;



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	Inventories (RPCI)	items.	Approved by Head of Office; andWitnessed by DOTr- CO
14	Report on the Physical Count of Property, Plant and Equipment (RPCPPE)	Form used to report on the physical count of PPE by type which are owned by the agency.	 Certified Correct by PRI-IC Head; Approved by Head of Office; and Witnessed by DOTr- CO
15	Report on the Physical Count of Semi-Expendable Property (RPCSP)	Used to report the physical count of semi-expendable property, which are owned by the DOTr-PRI. It shows the balance of semi-expendable items per card and per count and shortage/overage, if any.	 Certified Correct by PRI-IC Head; Approved by Head of Office; and Witnessed by DOTr- CO
16	Semi-Expendable Property Card (SEPC)	Used to record promptly the acquisition, issue/transfer/disposal and the description/ information about the asset.	 Prepared by AFS Supply Officer; and Noted by Designated Asset Supervisor
17	Stock Cards (SC)	Used for each type of supplies to record all receipts and issues made.	Prepared by AFS Supply Officer; andNoted by Designated Asset Supervisor
18	Waste Materials Report (WMR)	Used to report all waste materials previously taken up in the books of accounts as assets so that they may be properly disposed of and derecognized from the books.	 Requested by Accountable Officer; Approved by Head of Office; and Acted upon by the DOTr-CO.

3. Internal control forms:

NO.	FORM	DESCRIPTION	PERSONS INVOLVED	
1	Annual Maintenance Plan (AMP)	Annual plan used as guide for the PRI-IC to ascertain the period to conduct its	PRI-IC; and	



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		maintenance activities.	Office
2	Delivery Checklist (DC)	Form used to confirm the conformity of delivered assets vis-a-vis the requirements specified under the contract.	 Accomplished by end-user; Witnessed by AFS Supply Officer; and Acknowledged by Representative of Service Provider
3	Equipment Borrower Slip (EBS)	Form used to document temporary issuance of an asset.	 Authorized by Immediate Supervisor; Released by Accountable Officer; and Received by borrower
4	Gate Pass (GP)	Form used to document ingress and egress of assets.	 Prepared by Requesting Party; Approved by the Supply Officer; and Acted upon by Security Guard on Duty
5	Inspection and Maintenance Checklist (IMC)	Form used during the conduct of asset maintenance activities.	 Prepared by assigned PRI-IC members; and Approved by PRI-IC Head
4	Inventory Count Form (ICF)	Form used during conduct of inventory-taking activities.	 Prepared by assigned PRI-IC members; and Approved by PRI-IC Head
5	Property Clearance Certificate	Certificate used for whatever legal purpose it may serve and valid only until the specified timeline.	 Requested by Accountable Officer; and Approved by Head of Office
6	Repair and Maintenance Request Form	Form used to report defective or unserviceable assets.	Prepared by any PRI personnel; andReceived by Supply Officer
7	Request for Inspection	Form used to request inspection of received assets	Prepared by end-user; and



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			Approved Division concerned	by Chief
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XVII. TIMELINE

PROCEDURE	END OF YEAR	AS PLANNED	AS DELIVERED	AS REPORTED
Delivery, Inspection, and Acceptance of Assets			>	
Annual Maintenance Plan and Inspection and Maintenance Checklist Preparation	✓			
Conduct of Regular Inspection and Maintenance		√		
Repair and Maintenance Request Facilitation				√

XVIII. TRANSITORY PROVISIONS

A detailed orientation shall be conducted within thirty (30) working days upon effectivity of this Order to all personnel of the Institute. The implementation of the procedures stated therein and the use of enrolled forms shall begin after sixty (60) days from upon effectivity of this Order.

XIX. DISSEMINATION

This manual shall be cascaded and information, education, and communication (IEC) materials may be created as visual aids for the implementation of this order.



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XX. REVIEW AND AMENDMENT

This manual shall be amended should there be changes in internal policies or general budgeting and accounting rules. It shall undergo appropriate review, approval, storage, and retention process in accordance with internal procedures on document management.

PREPARED BY:

REVIEWED BY:

MARCOMELLE G. ESGUERR.
Administrative Officer I,
Administrative and Finance

Section

PRINCESS MAY M. FUTRON-NECESITO
Chief, Certification and Accreditation
Division

Designated Asset Supervisor

APPROVED BY:

ANNEL R. LONTOC, CESO I Undersecretary, DOTr and OIC-ED, PRI

ONBOARDING PLAN for Newly Hired PRI Personnel

Name of Employee:	
Division/Section:	
Start Date:	

ACTIVITIES	PERSON RESPONSIBLE
<u>Day 1</u>	
 Orientation about the PRI Meet and Greet with UARL (8am to 9am) Agency Profile (9am to 10am) 	Admin Representative RDD Representative
 Internal HR Processes (10am to 12nn) Timekeeping Policy - Generating DTR in HRIS, DTR submission, and Manual DTR encoding including WFH arrangements, use of TopTracker, accessing the DOTr-HRIS Collaboration platforms (Viber, Gmail creation) Performance Evaluation Policy- Peer Review Process; IPCR Targets and Accomplishments Building Safety protocol (1pm to 2pm) 	Admin and Finance Representative SSS Representative
Familiarization of Administrative Matters (2pm to 3pm) Requesting for office supplies and use of available PRI equipment. Use of local phone lines Document Control Process (Incoming and Outgoing) Quick Tour of PRI office premises (3pm to 4pm) 3rd floor - ID tap and medical check Work station, pantry, and parking provisions and/or public transportation options	Admin and Finance Representative
<u>Day 2</u>	

Endorsement to the Concerned Division	Division and Section Chief
<u>Day 3</u>	
Familiarization of Relevant Circulars/Orders	CAD Representative
Day 4- Day 10**	
Concerned Section Chiefs need to identify tasks and submit accomplished Onboarding Plan to HR representative for monitoring during week of assumption	Division- Section Chiefs
**Mandatory attendance include participation in QMS Workshops/Meetings, Supplemental Training (online) , Observance and familiarization of WRT and FT Courses	

<u>Day 4</u>	
	Division and Section Chiefs
<u>Day 5</u>	
	Division and Section Chief
<u>Day 6</u>	
	Division and Section Chief
Day 7-10 *can be separated	
	Division and Section Chief

Prepared by: Approved by:

Signature over Printed Name>
HR Representative Section Head

<u>Signature over Printed Name</u>
Division Chief



REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE Administrative and Finance Section



EXIT INTERVIEW FORM

No.: PRI-AFS-F-EIF-YYYY-MM-0000-S

1 of 2

The objective of the exit interview is to elicit your honest feedback about the Philippine Railways Institute (PRI), which will help further improve its services and processes, among others.

The information contained in this document is confidential, privileged, and only for the information of the intended recipient(s).

NAME:			EMPLOYI NO:	YEE DIVISION/SECTION:				
POSITION/DESIGNATION:					NAME OF IMMEDIATE SUPERVISOR:			
START DATE:					IT DATE:			
CONTACT NUMBER:				PE	RSONAL EM	1AIL:		
I. Reason for leaving.	You may tic	k more tha	n one (1)	tha	at is/are ap	plicable to y	ou.	
☐ Other Job Opportun	ity	☐ Family	Circumsta	ance	es	□ Un	manageable Workload	
☐ Unmet Job Expectat	ion	☐ General	l Health C	ond	lition	□ Otl	her reason/s:	
☐ Salary		□ Workpl	ace Proxi	mit	v		·	
☐ Conflict with Superv	visor	_			tgraduate St	udv		
☐ Conflict with other 6		□ Migrate						
dominet with other t	mproyees	_ riigiate	,					
II Dagad on your obco	myotion /ovr	orionco ro	to the DE	Lor	n the follow	ring areas of	concern by placing a check	
mark (√) on the box							concern by placing a check	
	Very	Satisfied	Neutra		Dissatisfied	Very Dissatisfied		
Areas of Concern	Satisfied (5)	(4)	(3)		(2)	(1)	Comments/Suggestions	
1. Proper	(8)	(.)	(0)		(-)	(1)		
implementation of								
office policies and								
procedures.								
2. Fair treatment to								
the personnel.								
3. Accomplishments								
are recognized and/or								
appreciated.								
4. Developed								
cooperation within								
the Section.								
5. Effectively								
resolved complaints								
and problems.								
6. Provided proper								
onboarding process								
and new employee								
orientation.			<u> </u>					
7. Equal opportunity								
for growth and			1					
development.								
8. Adequate salary								
and benefits.			1					

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9. Reasonable							
distribution of tasks							
and responsibilities.							
10. Availability of							
necessary office tools							
and equipment.							
and equipment.							
							_
III. Within your respon		ter, would y	ou say tha	t (Please che	_		
Areas of Concern	Very Satisfied	Satisfied	Neutral	Dissatisfied	Very Dissatisfied	Comments (Comments)	
Areas of Concern	(5)	(4)	(3)	(2)	(1)	Comments/Suggestions	
4 147 1 1	(3)	(4)	(3)	(2)	(1)		_
1. Workplace							
Communication							
2. Physical working							
conditions							
3. Chances for career							
advancement/dev't							
IV. Would you recomm	end PRI to a	relative/fa	amily mem	ber/ friend a	as a place to	work?	
	o, please expl						
	, _F						
V. Did your job meet o	r evceed voi	ır evnectati	on /s?				
	io, please exp						
_ Yes _ No If n	io, piease exp	ıaııı:					
**** ****	1:00 .1	• • •	. CDD	T. 3.6			_
VII. What would you do	o differently	if you were	part of PR	I's Managem	ient?		
VIII. Additional comme	ents and/or	suggestions	;?				
		34-88-04-01-0					
Acknowledged by:							
Signature over Printed Nan	ne						
Date:							
PRI Employee							
•							
							_
Summary of the exit inter	rview (to be	accomnlish	ed by the F	IR Represen	tative)		
			<u> </u>				
nterviewed by:							
J							
Signature over Printed Nan	ne						
Date:							

HR Representative



REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE Administrative and Finance Section



No.: PRI-AFS-F-IEC-YYYY-MM-0000-S

INTERNAL EXIT CLEARANCE FORM

1 of 2

NAME:		EMPLOYEE NO:	DIVISION/SE	CTION:		
DESIGNATION:			NAME OF IMN	ERVISOR:		
START DATE:			EXIT DATE:			
CONTACT NUM	BER:		PERSONAL EN	MAIL:		1x1 Photo
AREA	CHECKLIST	DESCRIP	ΓΙΟΝ	DATE CLEARED	IN-CHARGE	SIGNATURE
		1. Documents are en				
		immediate supervisor 2. Endorsement of tools/equipment, so platform account details.	ftware, online			
(Division/ Section)		3. Proper transfer of and accountabilities.	knowledge,			
		4. Other deliverables	S:			
		1. Documents are prendorsed.	operly			
(Committee)		2. Access to the files	is disabled.			
		1. Email address accendorsed.	ess was			
		2. Completed and su Custodian Asset Slip				
Administrative		3. Returned Employe card.	ee ID/ Access			
and Finance Section		4. Cleared on cash ac salary loans	dvance/s,			
		5. Expense Claims, Reimbursements, if	there's any			
		6. Cabinet Keys 7. Others:				
Approvals:						
Division Chief, T Date:		Division Chi Accreditation	ief, Certification on Division	D	ivision Chief, Re evelopment Div ate:	vision

Back Page

Per Civil Service Commission (CSC), Resignation is an act of an official or employee by which he/she voluntarily relinquishes in writing his/her position effective on a specific date. For the internal process of the Philippine Railways Institute (PRI), to constitute a complete and operative resignation of an official or employee, there must be a written intention to relinquish the office, addressed to Secretary of the Department of Transportation (DOTr), Undersecretary of Administrative Service and of the PRI, his/her Division Chief and Immediate Supervisor, and shall be accepted by the employee's Immediate Supervisor prior to the endorsement to the Personnel Division.

Resignation shall be governed by the following internal rules of the PRI:

- 1. Employee must participate in the activities required by the exit process of the PRI such as Exit Interview, turnover of activities and documents to the immediate supervisor or assigned personnel to receive the accountability and responsibilities, and other important activities identified by the Institute.
- 2. In the interest of service, employee may set a date of effectivity of the resignation, but shall not be earlier than thirty days (30) starting from the date of submission of the resignation.
- 3. The acceptance of resignation is mandatory. The immediate supervisor or the Division Chief may suspend the effectivity date of resignation despite its initial written notice of acceptance due to any of the following reasons:
 - a. When the country is at war or when any other national or local emergency has been declared by the appropriate authority; and
 - b. When it is necessary to prevent loss of life or property or in case of imminent danger to public safety due to an actual or impending emergency caused by serious accidents, fire, flood, typhoon, earthquake, epidemic or other disaster or calamity.
- 4. The official or employee concerned may withdraw the tender of resignation any time prior to receipt of notice of acceptance of the resignation from the appointing officer/authority or before the lapse of the 30-day period given for the latter to act on the resignation, whichever comes first.
- 5. Until the resignation is accepted, the tender of resignation is revocable. Once the resignation is deemed complete and operative, the withdrawal thereof shall not automatically restore the employee to his/her former position.
- 6. The completion of the internal exit clearance form must be submitted to the Administrative and Finance Section. The accomplishment of the clearance form is prerequisite in clearing the exit clearance facilitated by the Department of Transportation Central Office.
- 7. It is the employee's responsibility to obtain all signatures from committees, section/s and division/s. PRI's HRM Officer may extend assistance but the employee must proactively follow up the status of his/her own clearance. This applies not only to the internal clearance, but also to his/her clearance to the DOTr Central Office.

The completion of this internal exit clearance form equates to separation of the employee to the institute. This also signifies that he/she is clear to all his pending task/s, liabilities, and projects assigned to him/her.

No.: PRI-AFS-F-UD-YYYY-MM-0000-S **1** of 1

		lic of the Philippines)) S.S.
		UNDERTAKING
I, _		, Filipino, of legal age, formerly holding the position of in the Philippine Railways Institute (PRI) from to, and with permanent address at hereby state and undertake the following:
	1.	Throughout my employment with the PRI, I was able to draft/came across/work on Memoranda, letters, training curricula, training materials such as PPT presentations, Instructor's Guide, question items, Comprehensive Examination (CE) Answer Sheets and Keys, textbooks, and handouts, Evaluation Reports, CE Results, Trainees' Performance, List of Successful and Unsuccessful Trainees, Pre/Post Test Results, and other documents and papers, whichever is applicable, pursuant to my duties and functions;
	2.	Documents and other papers, information, and data were also shared to me by the PRI's stakeholders which include, but are not limited to, the Japan International Cooperation Agency (JICA), JICA Expert Team, government agencies and offices, and the academe;
	3.	I understand that all these documents and papers, including the data and information found therein, are considered confidential information, and should not be disclosed/shared to any third party or used for any purpose;
	4.	I also understand that I am bound by this confidentiality with the PRI, including those Confidentiality/Non-Disclosure Agreements executed by the PRI with its stakeholders, and this shall survive beyond my employment in the PRI;
	5.	As such, I will not disclose/share the said confidential information to a third party or use it for any purpose unless the same is with prior written consent from the PRI and its stakeholders, whichever is applicable; and
	6.	I understand that violation of any of the provision/s of this Undertaking shall warrant legal consequences under existing laws, rules, and regulations.
IN —	W	ITNESS WHEREOF, I have affixed my signature this day of 2022 at
		Signature over Printed Name
SI Ph	JBS(nilippi no ex	CRIBED AND SWORN to before me this day of2022 in the City of, ines, Affiant presented to me her issued on at I hereby certify that the undersigned is known to me and known to be the same person tecuted the foregoing Undertaking.
Pa Bo	ige N ok N	0 No No of 2022.



Republic of the Philippines

Department of Transportation

Document No: DOTr-HRDD-Forms-001 Rev. No.: 004 Effective Date: 03 August 2022

LEARNING AND DEVELOPMENT NOMINATION FORM

INSTRUCTIONS: This form is used in nominating an employee to undergo in a Learning & Development Training. Fill-out this

orm an	orm and attach the signed and scanned copy in the Online Nomination Form.				
Title of	Training/Course:				
	•	ate of Filling:			
Target	Competency(ies): V	enue:			
I.	Participants Information				
ID Nun	of Personnel: nber: Address:	Date Hired: Yrs/Months in Service:			
Positio	n Title:	Office/Unit Head: Usec. Anneli R. Lontoc, CESO I			
Gende	r (Optional):	Immediate Supervisor:			
II.	Justification of Nominee's Attendance: (Relevan development needs)	ce of the course to the participant	's functions a	nd	
trainee	rticipant is part of the Examination committee. With s of the courses being offered by the PRI. He sho to protect the data of the other stakeholders.				
III.	Gender Equality, Disability and Social Inclusion	(GEDSI)			
2. 3. 4. 5.	, ,	em? g speech sounds? rating? c calculations?	Yes Yes Yes Yes Yes Yes Yes	No No No No No No	
IV.	Social Inclusion				
	Are you a solo parent? Are you part of the Indigenous People group? (Please specify.)	Yes	No	
	to certify that I have briefed the nominee of the ewill apply the new learning in the workplace.	expected output and we have agree	ed on how an	d when	
	ure of Office/Unit Head	Signature of Participant			
Usec.	Jsec. Anneli R. Lontoc, CESO I				

Application for International In-house and Outof-House Seminar/ Training/ Scholarship

There shall be two (2) steps in the selection process to determine the qualified personnel who shall be joining the said training.

This application form is the first step -- please accomplish this application by ----.

'	This application form is the first step please accomplish this application by
* Re	quired
1.	Email *
2.	Full Name (e.g., DELA CRUZ, Juan) *
3.	Division/Section * Mark only one oval.
	Training Division/Safety and Security Section
	Training Division/Civil, Architecture, and Track Section
	Training Division/Railway Operations Section
	Training Division/Rolling Stock and Electrical Facilities Section
	Research and Development Division/Institutional and Human Skills Section
	Research and Development Division/Planning and Research Section
	Certification an Accreditation Division
4.	Position *

5.	Start Date of PRI Employment *
	Example: January 7, 2019
6.	Preferred Training Discipline (if applicable)
	Mark only one oval.
	Station Operation
	Train Operation
	Rolling Stock
	Tracks and Guideways
	Buildings and Facilities
	Electric and Machinery
	Safety (Operations)
	Safety (Maintenance)
In	structor-Related Tasks and Information
Ref	resher Training Course
7.	Please list all the RT Course topics that you teach based on the curriculum (e.g., 1. Intro to OSH [insert next line by pressing Shift+Enter] 2. OSH in Railways). https://docs.google.com/spreadsheets/d/1kGopUAtbNYhOt33-dBCQ2jHx7Dq8B9pz/edit#gid=651851005

8.	Please mention other teaching-related tasks (e.g., weekly recap), if any. *
Fur	ndamental Training Course
9.	Please list all the FT Course topics that you teach as of Cycle 4 based on the curriculum and specify if you are the Instructor 1/2/3 for each topic (e.g., 1. Intro to OSH - Instructor 1 [insert next line by pressing Shift+Enter] 2. OSH in Railways - Instructor 2). https://docs.google.com/spreadsheets/d/1Y6XgQOxvIn_FcosoSksKuhgUp_bCNd0/edit#gid=62718237
10.	In your opinion, what should the PRI do to improve the conduct of FT Course practical activities before the PRI building is operational?

Utilization of Learnings

11.	Which Tokyo Metro Training did you attend? (if applicable)
	Check all that apply.
	 (07 - 13 July 2019) Capacity Development for the Operation of the PRI - Batch 1 (08 - 14 September 2019) Capacity Development for the Operation of the PRI - Batch 2 (01 December 2020 to 26 February 2021) Online Supplemental Training for the Capacity Development for the Operation of the PRI (01 November 2021 - 02 February 2022) Level Up Training for Operations and Management Organization of Urban Railways (Self-paced) Online Supplemental Training for the Capacity Development for the Operation of the PRI None as of this moment
12.	How have you utilized your learnings from the Supplemental Training previously conducted by Tokyo Metro? Please give concrete examples.
13.	How do you plan to utilize your learnings from the Instructors' Training in Japan? Please give a brief description.

 $https://docs.google.com/forms/d/1bgSumk6oWNNorE39EivNpUrz3P_XDx1kK9t8LvMT-Ak/printform$

Long-Term PRI Plans

14.	How do you envision yourself in the PRI in the next five years? *		
15.	Are there any instance that made you consider leaving PRI? If yes, please specify *		
16.	By submitting this application form, you understand that the Instructors' Training in Japan is an activity under the PRI - Technical Assistance Project, which is a grant provided by the JICA to the DOTr. As such, requirements IN ADDITION to the standard government service obligation of six (6) months may be imposed, noncompliance of which may be subject to legal action.		
	Mark only one oval.		
	◯ No		
	Yes		
17.	By submitting this application form, you also understand that you might be asked to provide documentary proof of your instructor-related tasks as basis for your answers on page 2. Failure to do so within the specified period will be grounds for disqualification from the selection process.		
	Mark only one oval.		
	◯ No		
	Yes		

18.	By submitting this application form, you also understand that any misrepresentation of facts or inconsistencies in statements made shall be grounds for disqualification from the selection process.		
	Mark only one oval.		
	◯ No		
	Yes		

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Google Forms

REAP Form

The Re-entry Action Plan (REAP) is a document that presents an applicant's proposal to transfer what he/she learned in JICA training. The REAP is expected to produce an output or outputs that the applicant believes will improve the services or performance of the DOTr-PRI.

I. RELEVANCE OF THE REAP PROJECT. The REAP should clearly and succinctly explain how the delivery of its proposed output or outputs will improve the services or performance of the DOTr-PRI and ultimately help or contribute to the achievement of the goals set of the DOTr. Fill out the following sections after reading these required documents.

REAP Title	The title should give the reader a good idea of the nature of the REAP	
REAP Objective	The objective must be SMART-Specific, measurable, attainable, result-oriented and with timeframe	
Name of Host Organisation	What is the name of the organisation where your REAP Project will be implemented (your own organisation or another organisation)?	
Description of the organisation and relation to REAP	How did you come to know about this organisation and why did you choose it to be your host? How can your relationship / connectedness with the DOTr-PRI help you in completely implementing your REAP? (200 words)	
BACKGROUND INFORMATION		
Problem / Opportunity	What problem is your REAP Project hoping to address, or what emerging opportunity is your REAP project hoping to leverage on? Cite specific examples, cases and/or reports to support your belief that this problem or opportunity really exists, is critical, or is widely accepted as a valid problem or emerging opportunity. You should articulate how this problem or emerging opportunity is anchored on the situation of the DOTr-PRI. (500 words)	

BENEFICIARIES

Direct Beneficiary	Who will directly benefit from the implementation of your REAP Project? How many target beneficiaries does your REAP Project have? How will your REAP Project help your target beneficiaries? You should clearly and logically explain how your REAP Project will help your target beneficiaries. (200 words)	
Women and disadvantaged groups	How are women and marginalised groups, such as persons with disabilities (PWDs) and indigenous people (IPs), be benefitted by the implementation of your REAP Project? (200 words)	
Development impact	How will your REAP Project contribute to the achievement of the goals set of the DOTr-PRI? (200 words)	

II. SUSTAINABILITY OF THE ORGANISATIONAL OUTCOME OF THE REAP. The REAP Project should produce an output/s that will help the DOTr-PRI improve their services or performance. These improvements are the outcome/s of your REAP Project. You should therefore clearly articulate how these improvements will be sustained after the completion of the project. (TIP: Based on our survey, the following factors ensure the effective implementation of REAP Projects: the goals of the REAP Project should align with the goals of the Host Organisation and the Host Organisation is committed to the completion and full implementation of your REAP Project.)

Organisational Outcome	Identify at least one outcome of your REAP Project. How will your REAP project address the problem or leverage on the emerging opportunities you cited? (200 words)
Sustainability What is your strategy to ensure that the gains of the partial be institutionalized and sustained beyond the REA implementation timeline? (200 words) What output/s will your REAP Project produce? Hese outputs be contribute to achieving the organism outcome/s you have identified? (200 words)	

III. **EFFECTIVENESS AND EFFICIENCY OF THE REAP PROJECT.** The REAP Project should be fully implemented within two years from when a scholar returns from his/her studies in Tokyo Metro. The applicant should clearly and succinctly explain how he/she will implement the REAP within the required timeframe and budget.

Alignment of Competencies	What competencies do you hope to improve or gain when you train in Tokyo Metro? How will your proposed program of study help provide these competencies? You must clearly and succinctly articulate the importance of your proposed program of study to providing the competencies you need to implement your REAP Project. (200 words)		
Measurability	How will you track the progress of the implementation of your REAP Project? What are your milestones? Divide your REAP Project activities and timeline into four (4) milestones: 25%, 50%, 75% and 100%. (200 words)		
Action Steps (Predictive and Influenceable)	Expected Output	Timeline	
25%			
< <add if="" necessary="" rows="">></add>			
50%			
< <add if="" necessary="" rows="">></add>			
75%			
<add if="" necessary="" rows="">></add>			
100%			
<add if="" necessary="" rows="">></add>			
Resources	Estimate the budget you require to successfully implement your REAP. In spite of your other personal, social or professional commitments you may have then. Include your strategy for accessing the necessary financial support. (200 words)		

	End Date	,
;	Submitted by:	
Ī	DOTr-PRI Employee	
ı	Noted:	

Indicate the start date for the implementation of the REAP

Approved:

Division Chief

OIC-ED, Philippine Railways Institute

REAP Start Date and

Rubrics

APPLICATION FORM (40 points)	
Relevance to the duties and functions of the Personnel - Most Necessary (12pts) - Necessary (8 pts) - Least Necessary (4 pts)	- 12 pts
 Specialized topics actually being taught in PRI Training Courses More than 5 topics (12 pts) Between 4 to 3 topics (8 pts) Less than 2 topics (4 pts) 	- 12 pts
Long-Term Plans in the PRI - Response is favorable on the PRI (11 pts) - Not favorable on the PRI (5 pts)	- 11 pts
Years in Government Service - More than 3 years (5 pts) - Between 2 to 1 years (3 pts) - Less than 1 year (1 pt)	- 5 pts
INTERVIEW (60 points)	
 Application of Learnings from Past Training Personnel have many learnings and applied most of it on training materials and facilitation. (18 pts) With learning and some were applied on training materials and facilitation. Very few learning and almost none were utilized in his/her training materials and facilitation. (6 pts) 	- 18 pts on. <i>(12 pts)</i>
 Utilization of Learnings With a concrete re-entry plan upon returning to work. (18 pts) With clear response but need more clarification. (12 pts) The response is vague. There was no clear path on the answer of appli 	- 18 pts
 Need for Training of the Candidate Answer qualifies to "Most Necessary". Personnel acknowledges how JICA training is to his/her tasks. (10 pts) Personnel only rate it as "Necessary" as if s/he is halfhearted in attendir (6 pts) Response of the personnel leads to "Least Necessary" which shows no in 	- 10 pts important the ng the training.
Expectation and Commitment to the PRI	- 10 pts
Personal question from the Panel	- 4 pts

POST-TRAINING REPORT FORM

Part I. (To be filled-up by Participants)

Name of Participant:				
Office/Agency:				
Conference/Course Title:				
Duration:	Ouration:			
Sponsor (If any):	ponsor (If any):			
Place:				
General Evaluation (procedure, topics discussed, comments on the conduct of the program)				
Relevance of the Course to the Participant's DOTr Function				
Recommendations				
Part II. DE-BRIEFING (To be filled-up by Participants and Immediate Supervisor) Skills/Knowledge gained by the Participants:				
Re-entry/Action Plan Activities Time Frame Frame				
Activities Time Frame Expected Output				

For the supervisor:					
How will you support the im	plementation of his/he	r re-entry,	/action plan?		
Have you discussed any conceeffectively transfer/apply his			subordinate so that he/she can		
Would you be willing to send	him/her again to other	training,	/seminars?		
Yes	No		Others		
If yes, please specify courses:					
Proposed Date of Echo Seminar	:				
Submitted by:					
Attendee					
Date					
Noted/Confirmed by:					
Supervisor					

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PHILIPPINE RAILWAY INSTITUTE

Quality Management System

Performance Planning and Commitment

DOC REF NO.:	PRI-PPC-000	
EFFECTIVITY DATE:	SEP 0 9 2022	
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	DOTT - PRI	

I. OBJECTIVE

The Philippine Railways Institute (PRI) endeavors to establish the linkage of organizational performance with the Strategic Plan through the implementation of a Strategic Performance Management System (SPMS) to ensure the attainment of the PRI's mission, vision, organizational outcomes, strategic objectives, and strategic initiatives.

II. SCOPE

This Manual shall cover the preparation of the following under the first cycle of the SPMS, the *performance planning and commitment*:

- a. Success Indicators;
- b. Rating Scale;
- c. Office Performance Commitment and Review (OPCR) Form;
- d. Division Performance Commitment and Review (DPCR) Form; and
- e. Individual Performance Commitment and Review (IPCR) Form.

III. DEFINITION OF TERMS

Whenever used in this Manual, the following terms shall have the respective meanings hereinafter set forth:

TERM	DEFINITION
Core functions	: Those performed by the Office which are inherent in its mandate
General Administrative Services	: Activities that deal with the provision of overall administrative management support to the entire agency operation. Examples are legislative liaison services, human resource development, and financial services
Performance Management Team	: Ensures the implementation of the SPMS in accordance with the timelines set, among others;
Support to Operations (STOs)	: Activities that provide technical and substantive support to the operations and projects of the agency. By themselves, these activities do not produce the MFOs but they contribute or enhance the delivery of goods and services. Examples include program monitoring and evaluation, public information programs, statistical services, and information systems development.



Quality Management System

Performance Planning and Commitment

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IV. REFERENCE DOCUMENTS

- 1. Department of Transportation's (DOTr) Memorandum dated 10 January 2022, entitled "Supplementary Guidelines for the Submission of Strategic Performance Management System (SPMS) Documentary Requirements for the First Semester of C.Y. 2022"
- 2. DOTr Memorandum dated 19 September 2019 entitled "SPMS Process in the DOTr-CO and System of Rating and Ranking of Performance of Delivery Units"
- 3. Civil Service Commission's (CSC) MC No. 6, s. 2012, entitled "Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System"
- 4. Office of the President's (OP) Executive Order No. 80, s. 2012, entitled "Directing the Adoption of a Performance-Based Incentive System for Government Employees"

V. SUCCESS INDICATORS

Success indicators are performance level yardsticks consisting of performance measures and targets that shall serve as bases in the office, division, and individual personnel's preparation of their respective performance commitment and rating forms.

In terms of performance targets, the same shall be outcome-based and shall take into account a combination of any or all of the following:

- a. Historical Data. The data shall consider past performances of the PRI.
- b. *Benchmarking*. This involves identifying and comparing with agencies or institutions or units within the agency with similar functions or processes. It may also involve recognizing existing standards based on provisions or requirements of applicable law/s.
- c. *Client Demand.* This involves a bottom-up approach where the PRI sets targets based on the needs of its clients/customers (e.g., railway operators, railway personnel). The PRI may conduct consultation meetings, customer feedback surveys, and other means of review to gather feedback on its services.
- d. *Top Management Instruction.* The DOTr-Central Officer or the ED may set targets and give special assignments to the PRI.
- e. *Future Trend.* Targets may be based on the results of the comparative analysis of the actual performance of the PRIwith its potential performance.



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Performance Planning and Commitment

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In crafting the targets, the PRI shall likewise adhere to the SMART principle—Specific, Measurable, Attainable, Realistic, and Time-bound:

- a. *Specific*. Well-defined, clear, and unambiguous. When drafting the targets, the five "W" questions may serve as guide to ensure that such targets are specific:
 - i. What: What exactly do you want to accomplish?
 - ii. Why: What are the reasons, purpose or benefits of accomplishing the objective?
 - iii. Who: Who is involved? Who are the stakeholders?
 - iv. Where: Where is it going to happen?
 - v. Which: Which attributes are important? (Requirements and constraints; risk and opportunities)
- b. *Measurable*. Specific criteria that measure your progress toward the accomplishment of the target. The following guide questions may serve as guide to ensure that targets set are measurable:
 - i. How will you know when an objective is accomplished?
 - ii. What indicators will you look for to measure progress and success?
 - iii. Is the data to measure your progress and success readily available?
 - iv. Is there a need to develop new measures, e.g., surveys, focus groups, etc.?
- c. *Attainable*. Not impossible to achieve, and within the control of the individual setting such targets. The following guide questions may serve as guide to ensure that targets set are attainable:
 - i. How can I accomplish this goal?
 - ii. How realistic is the goal, considering the external and internal constraints?
 - iii. Is there sufficient financial and material resources to accomplish the target set?
 - iv. Is there adequate personnel with sufficient abilities and skills to accomplish the target set?
 - v. Is there sufficient time to accomplish the target set?
- d. *Realistic.* Within reach and relevant to the mandate of the PRI. The following guide questions may serve as guide to ensure that targets set are realistic:
 - i. Is this the right time?
 - ii. Does this match our other efforts/needs?
 - iii. Am I the right person to reach this goal?
 - iv. Is it applicable in the current socio-economic environment?
- e. *Time-bound.* With a clearly defined timeline. The following guide questions may serve as guide to ensure that targets set are time-bound:
 - i. When will this objective be achieved?
 - ii. When will the activities to achieve the objective set be undertaken?



Quality Management System

Performance Planning and Commitment

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Below are examples of success indicators pursuant to the guidebook provided by the CSC:

Major Final Outputs	Performance Measures	Performance Targets	Success Indicator (Measures + Targets)	Organizational Outcome
Cases Adjudicated	Response Time	Within 40 days from the time the case is ripe for decision	Percentage of cases adjudicated within 40 days from the time the case is ripe for decision	Accountability of Civil Servants Promoted
Policies/ Guidelines Formulated	Acceptability	Management approval upon first presentation within the set deadline	Policies approved upon first presentation within the set time frame	Merit & Reward System in the Civil Service Strengthened
Opinion & Rulings Rendered	Response time as provided under R.A. 11032 Efficiency rating (no. of requests acted upon/requests received)	Within three (3) days from receipt of request All requests for opinions and ruling acted upon within 15 days from receipt	100% of requests for opinions and rulings acted upon within 15 days from receipt of request	Improved Public Service Delivery
Public Elementary Education Services	Number of students from Grade I-VI Number of underweight students from Grade I-VI	Decrease in percentage of underweight children from Grade I to Grade	Decrease percentage of underweight children to 16% of the total Grade I-VI population	Functionally, literate Filipino children, youth, and adult learners
Tertiary & Other Specialized Healthcare	Death rates	Death rate percentage reduced	Net death rate reduced to 2.5% and below	Improved health status of the population



Quality Management System

Performance Planning and Commitment

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Major Final Outputs	Performance Measures	Performance Targets	Success Indicator (Measures + Targets)	Organizational Outcome
Provided				

Contextualizing the same in the PRI, below are another set of examples of success indicators with actual cross-referencing from the OPCR to the DPCR, down to to IPCR:

Major Final Outputs	Performance Measures	Performance Targets	Success Indicator (Measures + Targets)	Organizational Outcome
		OPCR		
3. Research and Development Services/ Increase in research and development activities including partnership activities in the railway sector's human resources	Number of partnerships forged	Increase in number of partnerships within the semester	3. Stakeholder Partnership and Promotion One or more partnerships sealed through MOU/MOA on or before December 31, 2022.	Railway research improved to promote railway sector productivity and innovation
		DPCR		
3. Research and Development Services/ Increase in research and development activities including partnership activities in the railway sector's	Acceptability	Parties' approval to proceed for the signing of partnership agreement within the timeline set	3.1 Stakeholder Partnership and Promotion Partnership agreement finalized and set for signing ceremony within the timeline set.	Railway research improved to promote railway sector productivity and innovation



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Major Final Outputs	Performance Measures	Performance Targets	Success Indicator (Measures + Targets)	Organizational Outcome
human resources				
		IPCR		
3. Research and Development Services/ Increase in research and development activities	Number of exploratory meetings set for partnership	Increase in number of exploratory meetings set for partnership within the timeline set	3.1.1 Stakeholder Partnership and Promotion Two or more exploratory meetings set for partnership on or before September 30, 2022.	Railway research improved to promote railway
including partnership activities in the railway sector's human resources	Acceptability	Partnership agreement accepted by both parties to agreement within the timeline set	3.1.1 Stakeholder Partnership and Promotion Approved partnership agreement within the timeline set	sector productivity and innovation

VI. RATING SCALE

Performance measures are to be operationalized into a rating scale that involves two (2) sub-steps: (1) determining the dimensions on which performance or accomplishments are to be rated; and (2) operationalizing the numerical and adjectival ratings. It may include any one, combination of, or all of the following dimensions, whichever is applicable:

CATEGORY/DIMENSION	DEFINITION



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Effectiveness/Quality	Getting the right things done. It refers to the degree to which objectives are achieved as intended and the extent to which issues are addressed with a certain degree of excellence. Quality or effective performance involves the following elements: • acceptability; • meeting standards; • client satisfaction with services rendered; and • accuracy.
Efficiency	Extent to which targets are accomplished using the minimum amount of time or resources. Efficient performance applies to continuing tasks or frontline services (e.g., issuance of licenses, permits, clearances, and certificates). It involves the following elements: • standard response time; • number of requests/applications acted upon over number of requests/applications received; and • optimum use of resources (e.g., money, logistics, office supplies.
Timeliness	Measures if the targeted deliverable were done within the scheduled or expected timeframe. Timely performance involves: • project completion deadlines; • time management skills and other time-sensitive expectations; and • meeting deadlines as set in the work plan.

On each dimension of quality, efficiency, and timeliness, rate performance using a numerical scale ranging from 1 to 5—with 1 as the lowest and 5 as the highest. Below is the list of numerical rating and its corresponding adjectival rating:

NUMERICAL RATING	ADJECTIVAL RATING
5	Outstanding
4	Very satisfactory
3	Satisfactory
2	Unsatisfactory



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1	Poor
---	------

For the dimension of **Quality**, the following are the indicators per numerical rating:

NUMERICAL RATING	ADJECTIVAL RATING	DESCRIPTION OR MEANING OF RATING
5	Outstanding	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	Very satisfactory	Performance exceeds the standards/expectations and extends beyond the assignment.
3	Satisfactory	Performance fully met the required standards/expectations in all areas.
2	Unsatisfactory	Performance does not consistently meet expectations/targets. Output needs improvement. Only a few critical goals met and would require close supervision by direct supervisor in the next rating period.
1	Poor	Performance was consistently below expectations, and/or unjustifiable. Progress toward critical goals were not made. Significant improvement is needed in one or more areas.

Since quality measures are nuanced in nature, the rating guide provided is in general terms and rating scales for the quality of specific indicators may be adopted.

The specific rating scale used for indicators must be agreed upon by both rater and ratee, and must be indicated in the OPRC/DPCR/IPCR.

For the dimension of **Efficiency**, it is categorized into: (1) Fixed Targets/ As Need Arises (ANA) quantity; or (2) Non-Fixed Targets or Quota-Based quantity.

NUMERICAL	FIXED/ AS NEED ARISES	NON-FIXED TARGETS/
RATING	TARGETS	QUOTA-BASED
5	100% Accomplished	130% Accomplished and above



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4	76-99% Accomplished	115-129% Accomplished
3	51-75% Accomplished	100-114% Accomplished
2	26-50% Accomplished	51-99% Accomplished
1	25% and below accomplished	50% and below Accomplished

For the dimension of **Timeliness**, it is categorized into: (1) Pre-Defined/Pre-Planned/set ahead of time; or (2) Unplanned/ set to be accomplished within the day.

NUMERICAL RATING	PRE-DEFINED/ PRE-PLANNED/ DAYS OF ACCOMPLISHMENT	HOURS WITHIN THE DAY OF ACCOMPLISHMENT
5	1 and more working days advance	1 and more hours advance
4	On the deadline	On time
3	1-30 working days late	1 hour to 1 and 30 minutes late
2	31-60 working days late	2-3 hours late
1	61 and more working days late	4 hours and 30 minutes and more hours late

To set a clear and consistent rating matrix, the following guidelines must be taken into consideration:

- a. rating of three (3) is the basis by which it is scaled up (4, 5) or down (2, 1) and should, therefore, be defined clearly and unambiguously;
- b. consider average or median performance;
- c. consider the minimum required;
- d. consider the target performance or throughput;
- e. rating of three (3) does not always mean 100% delivery;
- f. consider if historical data shows that 100% was never hit due to uncontrollable factors or external dependencies;
- g. consider if there is not enough resources (4Ms Manpower, Money, Machine, Method); and
- h. consider if the volume of work is unpredictable.

Overall, the rater and the ratee are free to craft their own rating matrix suitable to the targets or quality objectives set.



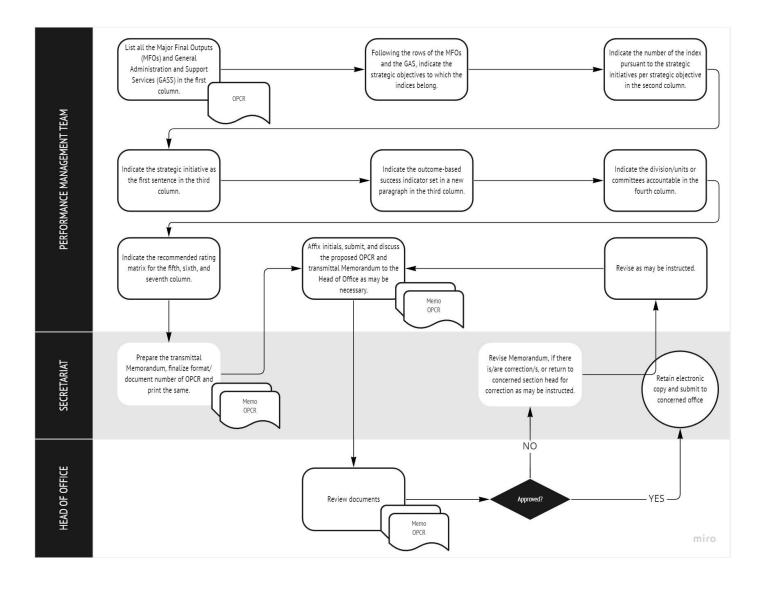
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VII. OFFICE PERFORMANCE COMMITMENT AND REVIEW

- a. Timeline: In accordance with the semi-annual Strategic Planning Workshop
- b. Type of transaction: Internal transaction
- c. Forms:
 - 1. Office Performance Commitment and Review Form





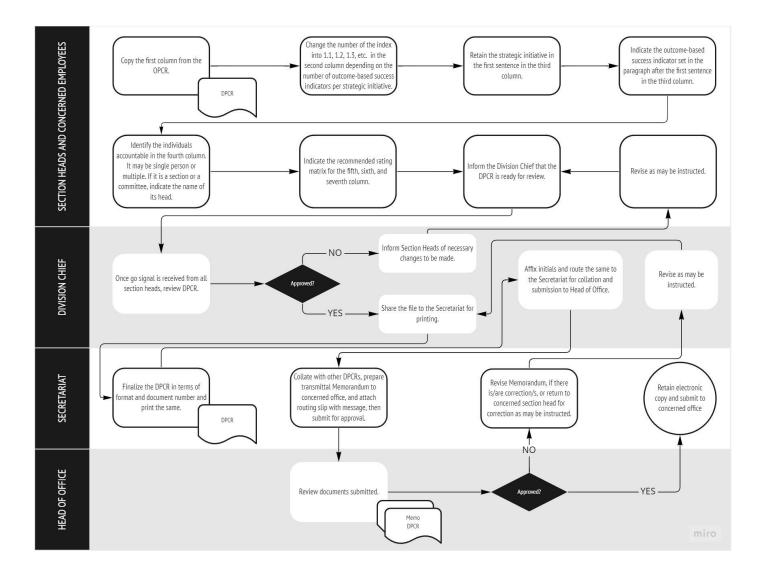
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VIII. DIVISION PERFORMANCE COMMITMENT AND REVIEW

- a. Timeline: In accordance with the semi-annual Strategic Planning Workshop
- b. Type of transaction: Internal transaction
- c. Form:
 - 1. Division Performance Commitment and Review Form





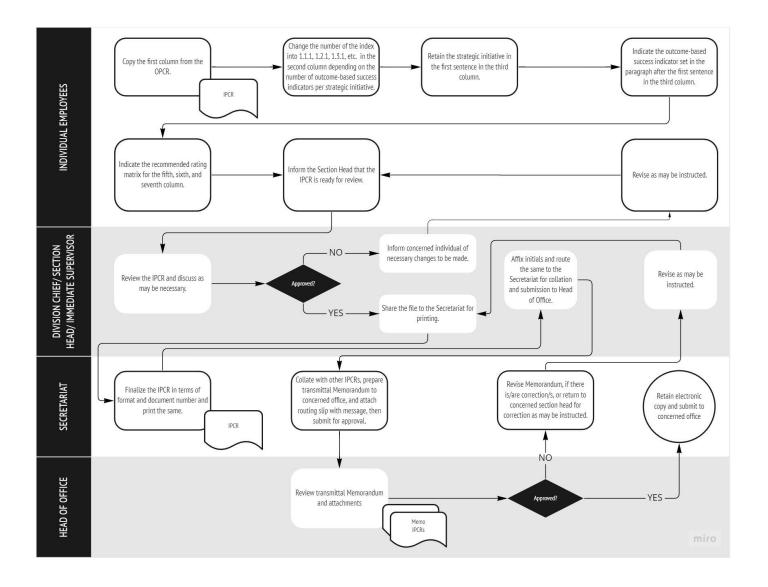
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IX. INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW

- a. Timeline: In accordance with the semi-annual Strategic Planning Workshop
- b. Type of transaction: Internal transaction
- c. Form:
 - 1. Individual Performance Commitment and Review Form





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X. DISSEMINATION

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XI. REVIEW AND AMENDMENT

This Manual shall be amended should there be changes in internal policies or national policies on government human resource management. It shall undergo appropriate review, approval, storage, and retention process in accordance with internal procedures on document management.

PREPARED BY:

RECOMMENDED BY:

RENLAY B. CONCHA

Senior Transportation Development Officer, RDD KIMJAY M. LAMAR

Chief Transportation Development Officer, RDD

APPROVED BY:

ANNELI R. LONTOC, CESO I

Undersecretary, DOTr and OIC-ED, PRI

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Quality Management System

Performance Monitoring and Coaching

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I. **OBJECTIVE**

Through the Strategic Performance Management System (SPMS), the Philippine Railways Institute (PRI) endeavors to institutionalize a system of coaching and mentoring roles of supervisors and subordinates incorporating the effective cascading and monitoring of commitments, priorities, and institutional accountabilities to various levels of the organization.

II. **SCOPE**

This manual shall cover the following under the second stage of the SPMS, the performance monitoring and coaching:

- a. Creation of Monitoring Sheet;
- b. Updating of Monitoring Sheet;
- c. Conduct of Performance Monitoring and Coaching; and
- d. Conduct of Performance Checkpoint.

DEFINITION OF TERMS III.

Whenever used in this Manual, the following terms shall have the respective meanings hereinafter set forth:

TERM	DEFINITION
Performance Management System Focals	: Also called the PMS Focals, are the personnel assigned for HR Support whose functions are to attend meetings and other activities related to SPMS implementation, review, and enhancement, re-echo instructions, requirements, plans, and agreements in the SPMS-related meetings, administer to raters/supervisors the PMS forms, and ensure completion of these requirements; and assist their respective divisions/sections in the submission of performance documents (i.e., DPCRs/IPCRs)
Performance Management Team	: Ensures the implementation of the SPMS in accordance with the timelines set, among others;



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IV. REFERENCE DOCUMENTS

- a. Department of Transportation's (DOTr) Memorandum dated 10 January 2022, entitled "Supplementary Guidelines for the Submission of Strategic Performance Management System (SPMS) Documentary Requirements for the First Semester of C.Y. 2022"
- b. DOTr Memorandum dated 19 September 2019 entitled "SPMS Process in the DOTr-CO and System of Rating and Ranking of Performance of Delivery Units"
- c. Civil Service Commission's (CSC) MC No. 6, s. 2012, entitled "Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System"
- d. Office of the President's (OP) Executive Order No. 80, s. 2012, entitled "Directing the Adoption of a Performance-Based Incentive System for Government Employees"

V. CREATION OF MONITORING SHEET

Performance monitoring shall be done through the accomplishment of an online monitoring sheet to be cascaded by the PMT/PMS focals to all PRI personnel.

The creation of the monitoring sheet shall be through the following:

COMMITMENT AND REVIEW FORM	RESPONSIBLE FOR CREATION	TIMELINE
OPCR	PMT Secretariat	Immediately upon approval of success indicators set
DPCR	Division Chief	Immediately upon approval of success indicators set
IPCR	Concerned Employee	Immediately upon approval of success indicators set

The steps are as follows:

- a. Copy the contents of the following columns of the OPCR/DPCR/IPCR to the equivalent columns in the respective monitoring sheet:
 - 1. Major Final Output;
 - 2. Index;
 - 3. Success Indicators;
 - 4. Division/Unit/Individuals Accountable;
 - 5. Quality Rating Matrix;



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- 6. Efficiency Rating Matrix; and
- 7. Timeliness Rating Matrix.
- b. Lock said columns except for the accountable division/unit/individuals to restrict access and avoid unintentional edits, if any.
- c. Indicate the specific output by adding one (1) output per row; one may add rows as necessary.
- d. Match the specific output to the accountable division/unit/individual and add rows if there are more than one (1) accountable division/unit/individual. After which, merge the rows of the specific output as may be necessary to match multiple accountable divisions/units/individuals. For the IPCR level, indicate the committee involved that the individual is included, if any
- e. Link the file of the division/unit/individual DPCR concerned in its corresponding column through the following steps:
 - 1. right click the specific cell to get the link;
 - 2. click "View more cell actions";
 - 3. click "Get link to this range";
 - 4. link is automatically copied by the above function so hyperlink it to the monitoring sheet; and
 - 5. should there be no match or no specific cascading was set, the Division Chief shall automatically bear the responsibility of accomplishing the task.
- f. Identify the resources (4Ms machine, manpower, method, money) needed in both the OPCR and DPCR levels, and insert status in the IPCR level.
- g. Indicate the possible means of verification (MOV) that will later be used as evidence.
- h. Indicate the original deadline set in the specific actual date (not range or period), then indicate the basis of such deadline in the succeeding column.
- Leave the new deadline and its succeeding column blank initially as this may be updated throughout the semester to reflect adjusted timeline of completion, if applicable.
- j. Leave the monitoring cells blank.
- k. Leave the "actual date submitted/completed" column blank.
- l. Leave the "evidence" column blank.
- m. Leave the "deviation" columns blank as this will auto-compute the difference between deadline set and actual completion date.



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- n. Leave the "remarks" column blank.
- o. Copy and paste the Quality Rating Matrix/Efficiency Rating Matrix/ Timeliness Rating Matrix per success indicator. Due to numerous additional rows that may have been added, merge the same under the foregoing columns to retain only five (5) rows corresponding to the rating guide.
- p. Leave the "quality rating" column blank.
- q. Leave the "efficiency rating" column blank.
- r. Leave the "timeliness rating" column blank as this will auto-compute

For any clarification/s, the responsible personnel may request technical assistance from the PMT or the PMS Focals.

VI. UPDATING OF MONITORING SHEET

To note key accomplishments and inculcate a sense of urgency, the monitoring sheet shall be regularly updated, as follows:

COMMITMENT AND REVIEW FORM	RESPONSIBLE FOR UPDATING	TIMELINE
OPCR	Concerned Division Chiefs	Every 1st week of the succeeding month
DPCR	Concerned Division Chiefs and Section Heads	Every last week of the month
IPCR	All Individuals/ Employees	Every Monday of the succeeding week, or the next working day should it be declared a holiday or if suspended

The steps are as follows:

- a. For the OPCR/DPCR level:
 - 1. gather updates from the DPCR/IPCR Monitoring Sheet, as may be necessary;
 - 2. fill out monitoring cells monthly in accordance with the timeline set until completed;
 - 3. indicate remarks as may be necessary;



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- 4. do self-rating under the quality and efficiency ratings for the running score using the rating matrix in the preceding columns;
- 5. once completed, indicate "Done" on the rest of the monitoring cells; and
- 6. indicate the actual date submitted for the deviation and timeliness rating columns to automatically compute the number of days past the deadline set.

b. For the IPCR level:

- 1. fill out monitoring cells in accordance with timeline set;
- 2. indicate remarks as may be necessary;
- 3. indicate the status of resources needed bearing in mind the following:
 - i. do not remove previous status
 - ii. press Alt+Enter to enter a new paragraph within the cell; and
 - iii. always begin with the date of update (i.e., 20220828 for Aug. 28, 2022 followed by dash ("-"), then the status.
- 4. do self-rating under the quality and efficiency ratings for the running score using the rating matrix in the preceding columns;
- 5. once completed, indicate "Done" on the rest of the monitoring cells; and
- 6. indicate the actual date submitted for the deviation and timeliness rating columns to automatically compute the number of days past the deadline set.

For any clarification/s, the responsible personnel may request technical assistance from the PMT or the PMS Focals.

VII. CONDUCT OF PERFORMANCE MONITORING AND COACHING

Coaching and mentoring are essential functions of supervisors and Division Chiefs to ensure efficient delivery of public services by rank-and-file personnel. As such, they shall accomplish the *Performance Monitoring and Coaching Journal* within the quarter and submit the same in the succeeding quarter, to wit:

- a. Q1: 1st week of April;
- b. Q2: 1st week of July;
- c. Q3: 1st week of October; and
- d. Q4: 1st week of January.

The raters have the free hand on the manner and timeframe on when monitoring or coaching and mentoring will be done. It may either be through one-on-one sessions, group meetings, issuance of Memorandum, or other mechanisms. Results of customer satisfaction surveys, peer reviews, and other feedback mechanisms may be utilized for the coaching activity. Nonetheless, every instance of monitoring or coaching and mentoring shall be documented in the aforementioned journal through the following steps:



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- a. depending on the activity, either monitoring or coaching, indicate the name of the concerned staff or section or committee under the "Person/Section/Committee Involved";
- b. indicate the date of the activity in the respective column, whether meeting (one-in-one or group), Memorandum, or others (specify);
- c. indicate remarks, if any;
- d. for prior quarterly submission, check the corresponding quarter;
- e. print the document;
- f. attach the necessary means of verification; and
- g. submit to the immediate supervisor for notation and remarks, if there are any.

VIII. CONDUCT OF PERFORMANCE CHECKPOINTS

Performance checkpoints are conducted every mid-semester to identify missed deliverables and to re-plan activities to address the delay in the attainment of commitments. This shall be done within the 3rd week of the third month of the semester. For the first (1st) semester, it shall be done in the 3rd week of March; for the second (2nd) semester, this shall be done within the 3rd week of August.

The *performance checkpoint* form shall be accomplished in accordance with the following steps:

- a. the ratee shall spearhead the preparation of the document;
- b. indicate the division/individual concerned;
- c. indicate the rating period (i.e., July December 2022);
- d. indicate the concerned index number;
- e. reflect the original performance indicator that is delayed or is no longer applicable;
- f. indicate justification or reason;
- g. submit to the rater for approval/disapproval;
- h. the rater may either act on the document on his/her own discretion or schedule a one-on-one session to discuss the IPCR/DPCR;
- i. the above-mentioned discussion may also take place during management meetings or other similar meetings; and
- j. retain a copy of approved/disapproved form to use for the rating period.



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IX. DISSEMINATION

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X. REVIEW AND AMENDMENT

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PREPARED BY:

RECOMMENDED BY:

RENLAY B. CONCHA
Senior Transportation Development
Officer, RDD

KIMJAY M. LAMAR Chief Transportation Development Officer, RDD

APPROVED BY:

ANNELI R. LONTOC, CESO I

Undersecretary, DOTr and OIC-ED, PRI



Quality Management System

Performance Review and Evaluation

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I. OBJECTIVE

Through the Strategic Performance Management System (SPMS), the Philippine Railways Institute (PRI) endeavors to create an enabling environment for formal dialogues and effective communication between supervisors and subordinates as a critical exercise for employee as well as for the promotion of equal opportunities and non-discrimination on account of gender, civil status, disability, religion, ethnicity, or political affiliation in all phases of performance management and its processes.

II. SCOPE

This Manual shall cover the following under the third cycle of the SPMS, the *performance* review and evaluation:

- a. Rating Matrix Computation Guide;
- Rating of Office/Division/Individual Performance Commitment and Review Forms;
- c. Summary List of Accomplishments; and
- d. Summary List of Ratings.

The issuance of Non-Conformity Reports and Corrective Action Reports shall be governed by the procedure manual on internal quality audit and handling of non-conformities.

III. DEFINITION OF TERMS

Whenever used in this Manual, the following terms shall have the respective meanings hereinafter set forth:

TERM	DEFINITION		
Accomplishments	:	Substantial and successful achievement of a task.	
Success Indicators	:	Performance level yardsticks consisting of performance measures and targets that shall serve as bases in the office, division, and individual personnel's preparation of their respective performance commitment and rating forms.	

IV. REFERENCE DOCUMENTS

a. Department of Transportation's (DOTr) Memorandum dated 10 January 2022, entitled "Supplementary Guidelines for the Submission of Strategic Performance



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Management System (SPMS) Documentary Requirements for the First Semester of C.Y. 2022"

- b. DOTr Memorandum dated 19 September 2019 entitled "SPMS Process in the DOTr-CO and System of Rating and Ranking of Performance of Delivery Units"
- c. Civil Service Commission's (CSC) MC No. 6, s. 2012, entitled "Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System"
- d. Office of the President's (OP) Executive Order No. 80, s. 2012, entitled "Directing the Adoption of a Performance-Based Incentive System for Government Employees"

V. Rating Matrix Computation Guide

The computation of rating shall be in accordance with the discussed and agreed upon success indicators rating matrix. The following are the steps in the said computation:

a. Compute the percentage of efficiency/ accomplishments using the formula:

% of accomplishments = Total no. of quantity delivered x 100% / Total no. of targets

- b. For the quality, own discretion using the rating scale agreed upon shall be exercised.
- c. For timeliness:
 - i. counting of "days" shall refer to working days, thus, do not include Saturdays, Sundays, or non-working holidays;
 - ii. for documents/instructions that were received later than the required/specified deadline, the document shall be considered "Rush/Urgent", thus, the individual will have to accomplish it within 24 hours:
 - iii. the standard process for computing timeliness rating when the required outputs are 12 and below:
 - add all the ratings of the output and divide it by the total number of expected outputs to get an average rating that shall correspond to the final rating for time.
 - iv. for outputs delivered that are 13 or more in quantity, the following formula shall apply:
 - Ave% of outputs = Total no. of outputs submitted not later than the set deadline x 100 / Total no. of target outputs.
- d. To obtain the average rating for the strategic initiative, the following shall be the formula:



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i. Average Rating = (Quality + Efficiency + Timelines) / 3

For any clarification/s, the responsible personnel may request technical assistance from the PMT or the PMS Focals.

VI. RATING OF OFFICE/ DIVISION/ INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW FORMS

The rating of O/D/IPCR shall follow the agreed quality, efficiency, and timeliness indicators.

After rating the quality, efficiency, and timeliness of each performance indicator, the following rating matrix shall be used to determine the overall rating:

NUMERICAL RATING	ADJECTIVAL RATING	
4.80 - 5	Outstanding	
4.00 - <4.80	Very satisfactory	
3.00 - <4.00	Satisfactory	
2.00 - <3.00	Unsatisfactory	
Below 2	Poor	

VII. SUMMARY LIST OF ACCOMPLISHMENTS

Based on the DPCR ratings, all Division Chiefs shall prepare the accomplished work of their respective divisions. A representative from the Administrative and Finance Section shall collate the accomplishments through a printed table to be given to the Division Chief or email containing the soft copy of the Summary List of Accomplishments to list down each of the division's completed tasks for the semester.

VIII. SUMMARY LIST OF RATINGS

After all personnel completed their IPCR Accomplishments, a representative from the AFS shall collate the rating and compile it in the list. Ratings shall then be averaged per division with the following computation:



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Average rating per Division = <u>Total Sum of the rating of the personnel</u>

Number of personnel

As to the sequencing of the personnel's names, the Division Chief must be the first one on the list and the rest of the personnel shall be arranged alphabetically.

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Chief Transportation Development
Officer, RDD

APPROVED BY:

ANNELI R. LONTOC, CESO I Undersecretary, DOTr and OIC-ED, PRI



PRI-PMT-F-PMC-YYYY-MM-NNNN-S

PERFORMANCE MONITORING AND COACHING JOURNAL

Name of Division/Section	
Division Chief/Section Head	
Number of Personnel in the Division/ Section	

1st	Q u
2nd	a
3rd	t
4th	r

	Person/ Section/ Committee Involved	Mechanisms/s				
Activity		Meeting			O4 (PI 6 '6)	Remarks
		One-in-One	Group	Memo	Others (Pls. Specify)	
Monitoring	jOHN MARTH ALATA		09/03/2022 09/05/2022			
	JULIAN MAKILAN	09/01/2022				
	<staff 3=""></staff>					
	<add as<br="">necessary></add>					

	<staff 1=""></staff>					
	<staff 2=""></staff>					
Coaching	<staff 3=""></staff>					
	<add as<br="">necessary></add>					
Please indicate the do	ite in the appropria	te box when the mon	itoring/coaching wa	s conducted.		
Conducted by:				Noted by:		
(Imn	(Immediate Supervisor/Division Chief) (Division Chief/ Head of Office)					<u> </u>
,	• ,	,		,	·	,
	(Date Submi	ttad)			(Date Noted)	
	(Date Submi	ilicu)			(Date Noteu)	
Additional Rema	arks by Chief/H	ead of Office, if	any:			



PRI-PMT-F-PCP-YYYY-MM-NNNN-S

	NT				
			(DIVISION/INDIVIDUAL)		
			(RATING PERIOD)		
I N D E X	INDICATO	ERFORMANCE R (Based from DPCR/IPCR)	PROPOSED AMENDMENT	JUSTIFICATION	REMARKS OF RATER
					☐ Approved ☐ Disapproved Remarks:
					☐ Approved ☐ Disapproved

			Remarks:
			☐ Approved ☐ Disapproved Remarks:
			☐ Approved ☐ Disapproved Remarks:
Prepare	ed by:	Date:	
Positio			
Acted u	pon by:	Date:	
Position	n:		



PRI-PMT-F-SLR-YYYY-MM-NNNN-S

SUMMARY LIST OF INDIVIDUAL PERFORMANCE RATINGS

(Office/ Service Unit/ Division)				
Employee Name	Ratings			
Employee Name	Numerical	Adjectival		
Division Chief				
Staff 1				
Staff 2				
Staff 3				
<add as="" necessary=""></add>				
Average Rating (Total Numerical Ratings divided by the No. of Staff including Division Chief)				
Note: For the Offices of Undersecretaries, Assistant Secretaries, and Directors, the Average Rating is computed by dividing the Total Numerical Ratings by the Total No. of Immediate Staff.				
Submitted by:				
(Office/ Service Unit/ Division Head)				



PRI-PMT-F-SLA-YYYY-MM-NNNN-S

SUMMARY LIST OF ACCOMPLISHMENTS

-	(Office/ Service Unit/ Division	n)		
Activities/Tasks	Accomplishments	Remarks		
Submitted by:				
(Office/ Service Unit/ Division Head)				



REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE Research and Development Division



SELF-EVALUATION FORM

(Training Specialist)

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The purpose of conducting the Peer Review or 360-degree Evaluation is to assess strengths, make improvements where needed, and provide guidance in planning a career path suited to the employee's capabilities. The goal is to establish an honest and constructive communication about the employee's performance.

The information contained in this document is confidential, privileged and only for the information of the intended recipient(s).

NAME:		EMPLOYEE NO:	DIVISION/SECTION:
DESIGNATION:			REVIEW PERIOD:
DIRECTIONS: Based o based on the following	,	gement, rate the job p	performance and general performance of the employee
1.0 = Unsatisfactory	2.0 = Below Expectations	3.0 = Meets Expecta	ations 4.0 = Exceeds Expectations 5.0 = Outstanding
SECTION 1: JOB P	ERFORMANCE (50%)		

Job Description	Rating	Additional Comments
Assists in the development of training guidelines.		
Conducts training courses relative to assigned topic/s.		
Develops textbooks, modules, and other materials in accordance with the curriculum set by the PRI's Training Division.		
Provides feedback and suggests improvements on the training program, curriculum, textbooks, Instructor's Guides, handouts, and other materials.		
Determines training needs and requirements of the railway personnel/trainees.		
Participates in official travel/s and in-house and/or outside seminars/training programs related to/or in connection with his or her tasks/functions, as recommended by his or her immediate supervisor, when such activities are made available and if applicable in the evaluation period.		
Performs such other related functions that may be assigned from time to time.		
RESULT		

SECTION 2: GENERAL PERFORMANCE (50%)

Work Aspects and Criteria	Rating	Additional Comments
Integrity Criteria: Finishes every task with utmost honesty, honor, and reliability.		
Decision-making and Judgment Criteria: Analyzes and solves problems; accountable and takes responsibility for decisions taken; is effective and flexible; consults others when appropriate.		

Quality of Work <u>Criteria</u> : Provides services (and products) of the highest standard at all times.				
Organizational Ability Criteria: Plans work and organizes its completion; can cope with a variety of activities and distractions; is able to establish priorities; keeps supervisors informed.				
Competence Criteria: Works to full potential, commits few errors; shows efficiency and meeting the deadlines				
Initiative Criteria: Suggests new ideas and inputs; Uses independent judgment and innovation within his/her limits of authority; requires minimal supervision to complete tasks				
Punctuality / Attendance Criteria: Consistently arrives to work on time; observes proper timekeeping for breaks and leaving work; attends work online regularly and when needed.				
Behavior/Relations with Others Criteria: cooperates and contributes to team efforts; responds positively to suggestions; displays interpersonal skills; adapts well to changes.				
RESULT				
COMMITMENT OF THE EMPLOYEE: Kindly indicate your points of improvement and next step/s for the next evaluation period. This will guide you and you immediate supervisor in evaluating your performance in the next evaluation period.				
Employee's Note:				
Signature over Printed Name/ Date				

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COMMENTS:	
OMMENTS.	_
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Interpretation of Results			
5.0	Outstanding		
4.0	Exceeds		
4.0	Expectations		
3.0	Meets Expectations		
2.0	Need Improvement		
1.0 Unsatisfactory			

Summary of Results			
Section	Rating		
1: Job Performance			
2: General Performance			
OVERALL PERFORMANCE			



REPUBLIC OF THE PHILIPPINES DEPARTMENT OF TRANSPORTATION PHILIPPINE RAILWAYS INSTITUTE Research and Development Division



PEER EVALUATION FORM

(Training Specialist)

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Page 1 of 3

The purpose of conducting the Peer Review or 360-degree Evaluation is to assess strengths, make improvements where needed, and provide guidance in planning a career path suited to the employee's capabilities. The goal is to establish an honest and constructive communication about the employee's performance.

The information contained in this document is confidential, privileged, and only for the information of the intended recipient(s).

	·					
NAME:	EMPLOYEE N	0:	DIVIS	ION/SECTI	ON:	
DESIGNATION:			REVIE	W PERIOD) :	
DIRECTIONS: Based on your observation and jude based on the following rating:	lgement, rate th	e job p	erforma	ance and ge	eneral performano	ce of the employee
1.0 = Unsatisfactory 2.0 = Below Expectations	3.0 = Meets	Expecta	ations	4.0 = Exce	eds Expectations	5.0 = Outstanding
SECTION 1: JOB PERFORMANCE (50%)						
Job Description		Ratin	ng		Additional Cor	nments
Assists in the development of training guidelin	ies.					
Conducts training courses relative to assigned	topic/s.					
Develops textbooks, modules, and other mater accordance with the curriculum set by the PRI Division.						
Provides feedback and suggests improvements training program, curriculum, textbooks, Instr Guides, handouts, and other materials.						
Determines training needs and requirements of personnel/trainees.	of the railway					
Participates in official travel/s and in-house ar seminars/training programs related to/or in c with his or her tasks/functions, as recommend her immediate supervisor, when such activitie available and if applicable in the evaluation pe	onnection led by his or s are made riod.					
Performs such other related functions that ma assigned from time to time.	y be					
	RESULT					

SECTION 2: GENERAL PERFORMANCE (50%)

Work Aspects and Criteria	Rating	Additional Comments
Integrity		
Criteria: Finishes every task with utmost		
honesty, honor, and reliability.		

Decision-making and Judgment		
<u>Criteria</u> : Analyzes and solves problems;		
accountable and takes responsibility for		
decisions taken; is effective and flexible;		
consults others when appropriate.		
Quality of Work		
<u>Criteria</u> : Provides services (and products) of the		
highest standard at all times.		
Organizational Ability		
<u>Criteria</u> : Plans work and organizes its		
completion; can cope with a variety of activities		
and distractions; is able to establish priorities;		
keeps supervisors informed.		
Competence		
<u>Criteria</u> : Works to full potential, commits few		
errors; shows efficiency and meeting the		
deadlines		
Initiative		
<u>Criteria</u> : Suggests new ideas and inputs; Uses		
independent judgment and innovation within		
his/her limits of authority; requires minimal		
supervision to complete tasks		
Punctuality / Attendance		
<u>Criteria</u> : Consistently arrives to work on time;		
observes proper timekeeping for breaks and		
leaving work; attends work online regularly and		
when needed.		
Behavior/Relations with Others		
<u>Criteria</u> : cooperates and contributes to team efforts; responds positively to suggestions;		
displays interpersonal skills; adapts well to		
changes.		
RESULT		<u></u>
RECOMMENDATIONS OF THE PEER:	, 1 , 1 , 1 , 1 , 1 , 1 , 1 , 1 , 1 , 1	
Kindly make your recommendations. This will gu	ide the employee in makin	g tne needed improvements.

Peer's Note:	Management Review	
	Pass	
	Consult Supervisor	Signature over Printed Name/ Date
	Dismissal	Relationship to the employee:
	Others:	. Peer
		Immediate Supervisor
		Division Chief

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COMMENTS:	

Interpretation of Results		
5.0	Outstanding	
4.0	Exceeds	
4.0	Expectations	
3.0	Meets Expectations	
2.0	Need Improvement	
1.0	Unsatisfactory	

Summary of Results		
Section	Rating	
1: Job Performance		
2: General Performance		
OVERALL PERFORMANCE		