

MEMORANDUM CIRCULARNo. 09

Series of 2019

Subject: GUIDELINES FOR THE CONDUCT OF RESEARCH AND EVALUATION IN THE DSWD or "THE DSWD RESEARCH AND EVALUATION POLICY"**I. RATIONALE/BACKGROUND**

The Department of Social Welfare and Development (DSWD or Department) is a dynamic organization that has grown in scale, scope, and speed of operation in the past decades. As such, the Department has recognized the importance of evidence-based information for policy and program development and enhancement.

In line with this, research and evaluation serve as major tools in proactively addressing critical issues and concerns of the SWD sector. Accordingly, the implementation of the various social welfare and development (SWD) policies and programs should be closely scrutinized based on its goals and impact to society.

To strengthen the research and evaluation functions in the Department, several guidelines were issued including (i) the 2010-2014 DSWD Research Agenda, (ii) the Monitoring and Evaluation (M&E) Framework, (iii) Guidelines on the Formulation of DSWD's Research Agenda, and the (iv) Research Protocol for External Research Requests. Formal committees composed of representatives of various DSWD offices, bureaus, services, and units (OBSUs) were also institutionalized, through the Research and Development Technical Working Group (RD-TWG) and Composite Monitoring and Evaluation Team (CMET), to oversee the research and evaluation policies and activities of the Department.

Since the implementation of the Department's Reform Agenda that started in 2006, it has made significant strides in strengthening the research and evaluation in the organization along with the establishment of a results-based monitoring and evaluation system. Through this, the Department can ensure that its policies and programs are more relevant and responsive to the needs of the poor and vulnerable sectors, as well as efficiently and effectively implemented.

Moreover, the national government has taken measures to mainstream M&E in the bureaucracy through the formulation of Results Matrices for the Philippine

Development Plan since 2010, and the issuance of the National Evaluation Policy Framework of the Philippines in 2015, which was jointly initiated by the National Economic and Development Authority (NEDA) and the Department of Budget and Management (DBM). The latter policy document highlighted the significance of measuring results of the programs and projects being implemented by the government and directed all government institutions to adopt an M&E system, emphasizing the crucial role of evaluation as a part of program management.

With all the policy developments along research and evaluation in the past two decades, and the growing interest in research and evaluation within and outside the Department, it is deemed important that an integrated and comprehensive policy on research and evaluation for the Department be established. As such, this Memorandum Circular has been formulated and issued to achieve this purpose. In particular, it entirely repeals the (i) Guidelines for the Formulation of DSWD's 5-Year Research Agenda (M.C. 11, S. 2009) and the (ii) Revised Terms of Reference for the Research and Development Technical Working Group (M.C. 14, S. 2009), as well as amends relevant portions of the DSWD Research Protocols (A.O. 19, S. 2011), particularly Sections 8.1.1.8 and 8.2.1.9 (i.e. submission of inventory of research studies).

II. LEGAL BASES

A. National Policies

1. **Republic Act No. 11032**, "Ease of Doing Business and Efficient Government Service Delivery Act of 2018", promotes the ease of doing business and efficient delivery of government services;
2. **Executive Order No. 2, series of 2016**, "Freedom of Information Order", requires all government offices under the executive branch to make public all official records, data and information requested, with exceptions to the right of access as listed in the memorandum from the Executive Secretary of the Office of the President, dated 24 November 2016;
3. **National Economic and Development Authority and Department of Budget and Management Joint Memorandum Circular no. 2015-01 of the**, "National Evaluation Policy Framework of the Philippines", directs government agencies to formulate an evaluation agenda, form a neutral evaluation unit, include an evaluation plan in all project proposals, and ensure the appropriate use of evaluation results in the management of programs and projects;

4. **Republic Act No. 10173**, "Data Privacy Act of 2012", protects the fundamental human right of privacy, of communication while ensuring free flow of information to promote innovation and growth. It also establishes the State's inherent obligation to ensure that individual personal information in information and communication systems in the government and the private sector are secured and protected;
5. **Executive Order No. 80, S. 2012**, "Directing the Adoption of a Performance-Based Incentive System for Government Employees" provides for the need to strengthen performance monitoring and appraisal system based on existing systems like the Organizational Performance Indicator Framework (OPIF) and the Results-based Performance Monitoring System (RBPMS);
6. **Republic Act No. 10005**, "Philippine Technology Transfer Act of 2009", provides the framework and support system for the ownership, management, use and commercialization of intellectual property generated from research and development funded by government;
7. **Executive Order 15, series of 1998**, "Redirecting the Functions and Operations of DSWD", mandates the Department to undertake researches and studies and adopt policies to ensure the effective implementation of public and private social welfare and development programs;
8. **Republic Act No. 8293**, "Intellectual Property Code of the Philippines of 1998", protects and secures the exclusive rights of scientists, inventors, artists and other gifted citizens to their intellectual property and creations, particularly when beneficial to the people; it also promotes the diffusion of knowledge and information for the promotion of national development and progress and the common good.

B. DSWD Issuances

1. **Administrative Order No. 10, series of 2018**, "Adopting the DSWD Strategic Plan 2018-2022", communicates the desired outcomes and the necessary strategies and critical activities to achieve the DSWD client-focused and organization-focused objectives as well as the contribution of DSWD to national development goals;
2. **Administrative Order No. 10, series of 2017**, "Guidelines for the Publication of the Social Welfare and Development (SWD) Journal", institutionalizes the publication of peer-reviewed SWD journal to strengthen the dissemination and utilisation of research reports;

3. **Memorandum Circular No. 9, series of 2017**, "DSWD Freedom of Information (FOI) Agency Manual", provides the Department's business process in dealing with requests for information, pursuant to Executive Order No. 2, series of 2016;
4. **Administrative Order No. 7, series of 2015**, "DSWD Child Protection Policy in the Workplace", further emphasizes the Department's commitment to ensure protection of children by providing for the courses of action to be adapted by its officials and personnel while carrying out their mandated functions. This includes guidelines on the involvement of children as subjects or respondents in researches;
5. **Memorandum Circular No. 4, series of 2014**, "Guidelines on the Operationalization of the Unified Results-based Monitoring and Evaluation System", provides for the institutionalization of a department-wide results-based M&E system for DSWD;
6. **Administrative Order No. 19, series of 2011**, "Policy Guidelines on the Conduct of Research Studies in DSWD Offices, Centers, and Institutions", also known as the DSWD Research Protocol, provides guidelines on the conduct of research studies on, or in DSWD Offices and Centers and Institutions, particularly by researchers external to the Department;
7. **Administrative Order No. 17, series of 2011**, "Knowledge Management (KM) Framework of DSWD", provides directions on how to conduct and implement knowledge management in the Department;
8. **Memorandum Circular No. 5, series of 2010**, "The DSWD Reform Agenda", in particular, Reform Agenda 1: Leading/Engaging the Sector in Social Protection, calls for the enhancement of evidence-based policy-making, while Reform Agenda 4: Improving Delivery Systems and Capacities, provides the installation of a department-wide M&E system and conduct of risk assessment and impact evaluations;
9. **Memorandum Circular No. 22, series of 2009**, "DSWD Monitoring and Evaluation (M&E) Framework", provides that the Department M&E component shall be two-pronged both for organizational performance and for program/project performance;
10. **Memorandum Circular No. 14, series of 2009**, "Revised Terms of Reference for the Research and Development Technical Working Group", establishes the National Research and Development – TWG and the Regional –TWG to provide oversight and advisory role to all Department-wide and Department-funded research activities.

11. **Memorandum Circular No. 11, series of 2009**, "Guidelines for the Formulation of DSWD's 5-Year Research Agenda", provides the research framework and methodology in coming up with the DSWD research agenda.

III. OBJECTIVES

This Memorandum Circular shall provide overall guidance to the Department, including its Offices, Bureaus, and Services, as well as its Field Offices, and external researchers and partners on the development, implementation, monitoring and utilization of researches and evaluation studies involving the DSWD.

In addition, it aims to:

1. Institutionalize the formulation and monitoring of the DSWD Research and Evaluation Agenda; and
2. Provide standards and criteria in the conduct of researches and evaluation studies in the Department.

IV. DEFINITION OF TERMS

1. **Call for Research Proposals** – refers to the mechanism whereby external research proponents are requested to submit research proposals responding to a pre-identified theme. An extensive selection process is adopted at the Regional and National level to determine several proponents that shall implement studies for the Department.
2. **DSWD Results Framework** – refers to the over-all logic chain that guides the actions and strategies that the Department will operationalize to deliver its mission.
3. **Ethical Standards** – refers to a set of customary and acceptable principles, values, and practices applied for any research involving human participants that should govern the conduct of all research activities in DSWD.
4. **Exit Conference** – refers to meetings conducted by DSWD to discuss initial findings of the researcher/s to serve as venue for validation and clarification of any issue related to the conduct of data-gathering activities.
5. **Evaluation Study** – refers to the specific type of research study whose goal is to provide a systematic and objective assessment of an ongoing or completed

project, program or policy, in order to determine its relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. Due to its role in the policy- and decision-making process of the Department, it stands on its own from other branches and types of policy research (see "Research Study").

6. **Knowledge Management** – refers to creating an environment in which people's experience and wisdom on Social Protection and Social Welfare programs delivery are valued; and where internal processes are structured to support social welfare policy makers, program managers and service providers in creating, sharing, and using knowledge.
7. **Knowledge Products** – refers to documents and publications derived from expertise, research, and lessons learned that respond to different demands of users and may cover a wide range of purposes.
8. **Primary Data** – refers to data obtained through first hand investigation. These are collected through face-to-face interview, survey questionnaires, focused group discussion, case studies, among others.
9. **Research Conference/Learning Fora**– refers to a venue for the presentation of completed researches and serve as platform for awareness and promotion of the studies.
10. **Research and Evaluation Agenda** – refers to the outline of the Department's research and evaluation direction including priority topics that served as guide for the Department and other stakeholders to ensure the studies to be undertaken are responsive to the emerging concerns of the social welfare development sector.
11. **Research and Evaluation Technical Working Group (R&E-TWG)** – refers to a group of technical persons from different OBSUs of the DSWD Central (National) and Field Offices (Regional) that is responsible for overseeing and providing advisory role to all research and evaluation activities of the Department.
12. **Research Report** – refers to completed studies, in the form of a written document or an audio-visual presentation of the research study's findings based on the conduct of data-gathering activities and recommendations. It shall also include relevant information congruent to the research proposal such as the study's objectives, scope/delimitation, rationale, and related literature.

13. **Research Study** – refers to any original and systematic investigation undertaken in order to increase knowledge and understanding and establish facts and principles. It usually consists of information acquired from research investigation backed up by related literature. Recommendations are crafted from a thorough analysis of the obtained data. Researches that aim to assess DSWD's programs, projects, and policies, based on their accomplishments vis-à-vis its design, is distinctly referred to as an "Evaluation Study".
14. **Research Protocol** – refers to guidelines and procedure adopted by the Department in the review and facilitation of internal and external research requests for primary data.
15. **Secondary Data** – refers to data that has already been consolidated and/or published by DSWD and readily available as public document.
16. **Social Protection (SP)** – refers to policies and programs that seek to reduce poverty and vulnerability to risks and enhance the social status and rights of the marginalized by promoting and protecting livelihood and employment, protecting against hazards and sudden loss of income, and improving people's capacity to manage risks. It is broken down into four components: social welfare, social insurance, social safety nets and labor market. (*NEDA SDC Resolution 1, series of 2007*)
17. **Social Protection and Development Report (SPDR)** – refers to a report that will provide a comprehensive source of information on the current situation of a municipality/city/province/region based on the demographics, socio-economic profile, identified risks and vulnerabilities with corresponding SP strategies, gaps in the implementation of LGU mechanisms and relevant recommendations to be used for LGU planning and budgeting.
18. **Social Welfare and Development Journal** – refers to the official publication of the DSWD, featuring social protection and social welfare and development articles and researches, including those with policy and program implications.

V. COVERAGE AND APPLICABILITY

This policy shall cover all DSWD Offices, Bureaus, Services, and Units in the Central and Field Offices tasked to conduct research or evaluation studies on the DSWD policies, programs, and projects. This shall include the development, management, and implementation of any research and evaluation initiated by the Department, regardless of execution (i.e. in-house, joint, or outsourced).

Additionally, this policy applies to external stakeholders who partner with the Department in the conduct of researches or evaluations related to or involving the DSWD, such as local and international research institutions, the academe, independent researchers, other National Government Agencies, local government units, and DSWD Attached Agencies.

VI. RESEARCH AND EVALUATION FRAMEWORK

The framework in Figure 1 illustrates the five (5) elements relevant to the development and implementation of researches and evaluation studies in the Department, namely: The (i) Research and Evaluation; (ii) DSWD Results Framework; (iii) Research Standards; (iv) Evaluation Criteria; and (v) Strategies.

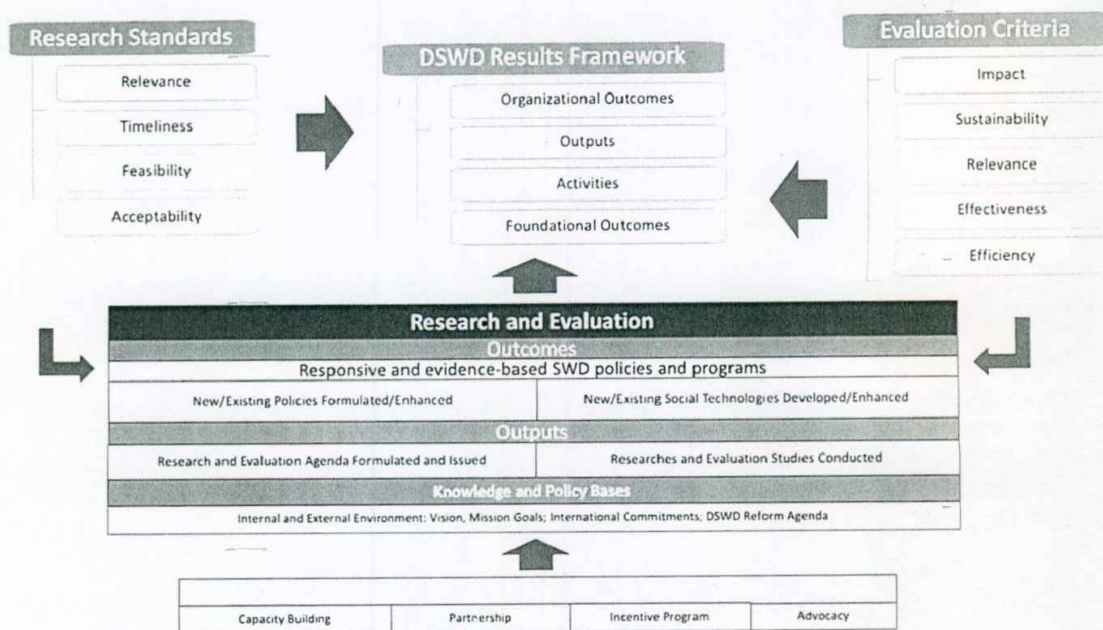


Figure 1. DSWD Research and Evaluation Framework

(i) Research and Evaluation

a. The Concept of Research and Evaluation

Research or research study refers to "any original and systematic investigation undertaken in order to increase knowledge and understanding, as well as establish facts and principles. It usually consists of information

acquired from research investigation backed up by related literature¹. Researches conducted in and by the Department typically serves three purposes, namely:

- 1) to describe a situation, subject, behaviour, or phenomenon;
- 2) to explore a topic for better understanding of issues/problems that have not been studied more clearly, with the intention to establish priorities, develop operational definitions and improve the final research design; and
- 3) to explain the extent and nature of cause-and-effect patterns and relationships among variables and specific problems.

Evaluation is a type of research, that has a significant role in promoting evidence and results-based policy and decision-making in the Department. It is defined as a *“systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results with the overall goal of determining its relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability². It focuses on the expected and achieved accomplishments of the intervention by examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof³.”*

b. Types of Researches and Evaluation

To facilitate the development of responsive & evidence-based policies and programs, the Department welcomes the conduct of a variety of research types, such as but not limited to the following, that may provide a holistic look at current & emerging SWD concerns/phenomena:

Table 1. Types of Researches

RESEARCH TYPE	DESCRIPTION
Descriptive Research	Examines situations in order to provide insights on the current situation/place/people/events and establish the current norms, through scientific observation.
Experimental Research	Determines causation among relatively limited and well-defined concepts and propositions; mainly involves hypothesis-testing.

¹ Lifted from AO. 19, S. 2011

² Based on the OECD Definition (OECD/DAC, 1991)

³ Based on the UNICEF Evaluation Policy (2013)

RESEARCH TYPE	DESCRIPTION
Action Research	Similar to experimental research but is implemented in a real-life setting. Follows an exploratory cycle where interventions are carried out, monitored and assessed continuously, until a sufficient understanding of the problem is achieved.
Policy Research	Uses evidence to gain insight on the causes and consequences of problems, and calculate the advantages, disadvantages and risks of various policy interventions.
Case Study	In-depth investigation, which focuses on one or a few instances of a social phenomenon e.g. a community, family, individual or historical period.
Longitudinal Study	Tracks changes/progress of the same group or individual over time.
Ethnography	Provides a detailed and observation of the social and cultural environment of a group/community.

Alternatively, evaluation studies are generally classified as follows:

Table 2. Types of Evaluation

EVALUATION TYPE	DESCRIPTION
Impact Evaluation (IE)	A type of evaluation that seeks to answer the changes directly attributable to a program or the causal effect (impact) of a program on an outcome of interest.
1. Prospective IE	These are impact evaluations that are developed at the same time as the program is being designed and are built into program implementation. Herein, baseline data is collected before the program is implemented.
2. Retrospective IE	Assess the program impact after the program has been implemented. As such, data for the comparison groups are collected ex post.
Process Evaluation	A type of evaluation that focuses on how a program is implemented and operates, assessing whether it conforms to its original design and documenting its progress and operation.

c. Department Researches and Evaluations

In the Department, the development and conduct of researches and evaluations are key foundational activities that support the attainment of its different organizational goals. These activities are anchored on the knowledge and policy bases in its internal and external environment. Internally, researches and evaluations support the vision and mission, strategic plan as well as the reform agenda of the Department. Externally, the international commitments of the DSWD, including its contribution to the Sustainable Development Goals, are crucial in the design and objectives of its researches and evaluations.

The research and evaluation process in the Department produces two main outputs, namely: the (1) research and evaluation agenda; and (2) research and evaluation studies. The Research and Evaluation Agenda serves as a reference document for the Department and its partners regarding the various areas and topics intended to be conducted for the SWD sector, especially those that are specific to the DSWD. It shall also guide the researchers and evaluators on the proposed timelines and criteria in relation to the conduct of such studies. On the other hand, the studies are the actual researches and evaluations conducted, reflected in the Agenda, to support the information and knowledge requirements of the Department. It should be emphasized that the research and evaluation program of the Department recognizes the important role of the external partners in both of these outputs, particularly as participants in the formulation of the Agenda and as co-implementers in the conduct of the studies.

Through these research and evaluation outputs, existing programs and policies of the Department are intended to be improved and enhanced. Based on the findings of the studies conducted, the program design and implementation, as well as the effectiveness of the policies will be reviewed to ensure efficient delivery of services. Simultaneously, new policies and social technologies can be formulated and developed as a result of the various studies conducted. Supported by evidence provided by the several researches and evaluations, policies and programs that are timely and relevant will be initiated to address various SWD concerns and issues. As such, an enabling environment where SWD policies and programs are more responsive is achieved.

(ii) DSWD Results Framework

The DSWD Results Framework reflects the various activities, outputs, and outcomes of the organization that are relevant in the fulfilment of its mandate, powers and functions. The research and evaluation program of the DSWD is

linked to the Department's Results Framework in two ways. First, all researches and evaluation studies conducted by the Department, and/or with or by its partners are anchored on these objectives. Secondly, all researches and evaluation studies that are intended to be conducted aim to support the information needs and knowledge gaps of the Department, as stipulated in its Results Framework.

At each level of the Results Framework, indicators are formulated to measure the level and extent of attainment of the organization in each of its objectives. The various researches and evaluation shall provide evidence and information about these indicators to effectively investigate the overall performance of the Department. Furthermore, researches, such as exploratory and descriptive types, are conducted to determine the different issues and concerns along social welfare and development (SWD) that are important to support policy and program design and implementation.

(iii) Research Standards

Studies conducted in and by the Department must take into account the various aspects of its work and the different sectors that it serves. Apart from contributing to the growing body of knowledge on SWD, the Department aims to generate useful information that will influence policymakers, program developers, frontline service implementers and stakeholders, through these studies. With the welfare of the poor and marginalized sectors at stake, it should be noted that researches are to possess the following standards:

Table 3. Research Standards

STANDARD	DESCRIPTION
Relevance	Denotes direct significance to SWD and the issues that surrounds the sector as well as having concrete linkages to the key indicators in the Department's results framework.
Timeliness	Intends to respond to a pressing issue or concern; needed to aid in decision-making as well as in developing interventions address a critical or immediate problem or issue.
Feasibility	Presents a clearly testable and workable research design that is outcome-oriented.
Acceptability	Firmly grounded on cultural sensitivity and aligned with the basic ethical principles of autonomy, beneficence, and justice; ensures gender responsiveness and sensitivity; do not inflict harm and pose other risks to

STANDARD	DESCRIPTION
	people and environment.

(iv) *Evaluation Criteria*⁴

Evaluation studies are customized according to the requirements of the program or intervention and/or to the use it is intended to serve. In general, a set of criteria can be used to ensure the quality and consistency of evaluations to be conducted. These evaluation criteria also relate to the different levels of objectives in the results framework. The following table shows the five evaluation criteria, their description, and the level of results they intend to investigate.

Table 4. Evaluation Criteria

CRITERION	DESCRIPTION	LEVEL OF RESULTS
<i>Efficiency</i>	measures how economically resources (inputs) and the way they are applied are converted to direct results; both quantity (most economical or cost-effective) and quality (most appropriate) are assessed	Input to Output
<i>Effectiveness</i>	the extent to which the direct results of interventions (output) contribute to the sustainable achievement of the objectives (outcome)	Output to Outcome
<i>Impact</i>	measures all significant effects produced by a development intervention, directly or indirectly, intended or unintended, on the ultimate stakeholders and third parties	Impact (Ultimate Outcomes)
<i>Relevance</i>	the extent to which the effects of interventions make a sustainable contribution to achieving the ultimate objective	Outcome to Impact
<i>Sustainability</i>	the extent to which the effects achieved by the intervention would be more lasting, such as on financial, economic, institutional, and socio-cultural aspects	Output to Outcome

⁴ Based on the OECD's Evaluation Criteria (OECD/DAC, 1991)

(v) *Strategies*

In order to successfully implement the processes involved along the development and conduct of researches and evaluation studies, several strategies should be undertaken.

1. *A strong and intensive capacity building program* should be implemented for the Department's personnel and partner stakeholders in-charge of the execution of the various studies. Through this, continued learning and growth along research and M&E in the Department can be strengthened. Among others, capacity building can be in the form of local or international training programs to research-related conferences, fora, symposia and other research-related activities.
2. *Partnerships with key stakeholders*, such as but not limited to the academe, research institutions, oversight agencies, and other individual practitioners, should also be enhanced. It is acknowledged that DSWD does not have monopoly on the conduct of studies related to SWD issues and concerns. Instead, the DSWD partners with various stakeholders to ensure the delivery and success of relevant and appropriate studies that support the DSWD's mandate and objectives.
3. *Incentive mechanisms for researchers and evaluators* particularly for Department-initiated studies should be institutionalized. In order to encourage the conduct of important studies needed by the Department, an award system for the conduct of ground-breaking studies and other research and evaluation initiatives shall be established. Relevant studies that are found helpful to the organization shall also be featured in the SWD Journal of the Department and be nominated in both national and international research or evaluation conventions and conferences. Acknowledging the important role of the the R&E – TWG, honoraria for the members shall also be explored and facilitated.
4. *Advocacy activities for research and evaluation* should also be ensured. In order to promote the research and evaluation agenda for possible partnership, as well as to popularize the findings of the completed studies, advocacy and social marketing should be strengthened, a such as but not limited to the conduct of research and evaluation fora and conferences. Publication of studies completed, and production of information and communication campaign materials can also be done as part of this strategy to improve awareness of SWD studies as well as increase utilisation of research and evaluation findings.

VII. OPERATIONALIZATION OF RESEARCH AND EVALUATION STUDIES

To effectively operationalize the Research and Evaluation Framework, guidelines along the development, implementation, monitoring, and utilization of researches and evaluation studies in the Department shall be instituted.

A. Development of Research and Evaluation Proposals

A.1. The researches and evaluation studies to be conducted on SWD are anchored on the Research and Evaluation Agenda (or herein called simply "the Agenda") issued by the Department that guides its Offices, Bureaus, and Services (OBS), including the Field Offices (FOs), as well as its stakeholders and partners on priority topics and areas (**See Annex A**). This Agenda which is formulated through a participatory process serve as the basis for researches and evaluations, both within the organization and outside, in the crafting of respective proposals.

A.2. As a first step, proposals are developed by the proponent Office or their respective research partner/s (**See Annex B**). All proposals on researches and evaluations included in the Agenda to be undertaken by a particular office in the Department, either in CO or FO, shall be submitted to the PDPB or the FO-Policy and Plans Division (FO-PPD) for initial review and comments.

For all proposals by student researchers doing undergraduate or postgraduate studies, these shall be coordinated with the PDPB and FO-PPD for assessment, based on the DSWD Research Protocols (A.O. 19, S. 2011) and other related succeeding issuances.

A.3. After initial review, research and evaluation proposals that are identified as priority topics⁵ in the Agenda, as well as related studies that cover more than one region, shall be endorsed to the NR&E-TWG for review, prior to its approval. Once cleared by the NR&E-TWG, these shall be endorsed to the Secretary or its assigned representative for final approval. Studies proposed by the Field Offices covering only a particular region shall be reviewed by Regional R&E-TWG and approved by the Regional Director.

Consequently, all research and evaluation proposals developed by the PDPB shall be shared to the NR&E TWG for review. During the review process, the design, methodologies, objectives, and tools of the study, among others, shall be assessed.

⁵ Priority topics refer to the studies included in the Agenda that are intended to provide evidence and information on the outcomes and outputs of the organization as reflected in the Results Matrix of its Strategic Plan

As part of the assessment, proposals involving human participants, including the use of data derived from humans, shall be endorsed for ethical approval. A clearance certificate shall be issued to the respective research proponent (**See Annex C**).

- A.4. Studies led by the Social Technology Bureau that are part of the social technology development process shall not be covered by the review protocols, and these shall be undertaken based on the existing policy on social technology development (AO 14, S. 2018). Furthermore, the review process shall not cover urgent studies directed by the Secretary or other studies directed by the Management that are not included in the Department's Agenda, and these shall be approved by the respective Cluster Head of the concerned Office/s. However, all proposals shall still be shared to the PDPB for appropriate tracking and monitoring.

To ensure the quality of all research and evaluation designs, especially those not included in the regular review process, the concerned Office/s shall create an ad-hoc technical working group (TWG) to support the technical needs of the particular study. The concerned Office/s shall determine the composition of this (TWG) which may include both external and internal stakeholders. The PDPB shall be invited as a regular member of such ad-hoc TWGs.

- A.5. All studies that involve surveys shall ensure compliance to the principles of the Philippine Statistical Survey Review and Clearance System. Further, studies whose primary objective is to generate official statistics on a particular segment of the population shall be requested for clearance from the PSA, under the same system.

Figure 2. Process Flow: Proposal Development and Approval



B. Conduct of Researches and Evaluations

B.1. Researches and evaluations can be conducted by both internal Offices or Units and external partners of the Department. For studies initiated by DSWD Offices or Units, once the proposal has been approved, there are three broad approaches that can be ventured, namely (***Please see Table 1 for Summary***):

B.1.a. In-House Studies

The DSWD, through its Offices in the Central Office and Field Offices, may lead the conduct of in-house studies by utilizing the Department's human resources, especially its research and M&E focal persons, using government funds or donor support.

OBS with designated research and M&E teams, such as but not limited to the National Program Management Offices of the Department's key programs and projects, are generally allowed and encouraged to administer in-house studies related to their respective programs, functions, and assignments. However, in order to guard the process in conducting research and evaluation studies, OBS without dedicated research and M&E teams are discouraged to conduct in-house studies.

The PDPB, as the lead in research and evaluation in the Department, shall spearhead the conduct of in-house evaluation studies of special programs and projects implemented by other OBS without dedicated research and M&E

teams. Moreover, Offices with oversight functions, with dedicated research and M&E units, are encouraged to conduct studies in their respective turf.

B.1.b. Fully-outsourced Studies

Another approach that can be embarked on by the Department to implement researches and evaluation studies is through engaging with third-party researchers/evaluators or outsourcing. In this set-up, the Department will be the hiring authority while the third-party researchers/evaluators shall conduct the actual study. As the hiring authority, the Department, through the proponent Office, shall manage the overall conduct of the study, as well as review and approve all documents submitted by the research partners.

The proponent or the hiring Office shall assist the research partners such as but not limited to the following: a) provision of information required for the preparation of tools, design, and other evaluation documents; b) coordination with Field Offices regarding data collection activities; and c) coordination with other stakeholders, such as with other government agencies, as deemed necessary for the study.

To ensure collegiality, the R&E TWG shall assist in the implementation of the outsourced study by helping in the review of relevant documents submitted by the research partner. It shall ensure that the third-party lens is within the bounds of the actual experience of the DSWD programs. Moreover, the PDPB and/or the members of the NR&E TWG can also be tapped in the conduct of spot checks, specifically during the data collection activity, to make sure that the processes being undertaken on the ground are based on the study design.

Hiring of consultants or research firms to conduct studies is necessary for Offices with no or little resources, particularly time and personnel, required to conduct the same. This is specifically advisable for OBS with no dedicated research and M&E units. As the studies are conducted by an external partner, the neutrality and impartiality of the report is high. The service provider may also be engaged in the provision of capacity building activities to the Department, as part of its contract. The Office who engages with third-party researchers shall ensure that sufficient information is provided and thoroughly discussed with them.

B.1.c. Joint-Studies

The third approach is the conduct of studies in close partnership with research consultants or institutions, while maintaining a significant role in the study. This set-up is called, Joint-Studies.

In this approach, the partner individual or institution undertakes the study but involves the staff of the hiring Office through allowing them to assist in the following: a) development and pre-testing of the evaluation tools; b) actual conduct of data collection activities; and c) data processing, analysis, and report writing. Part of the joint-study approach is capacity building which shall provide training to the Department's personnel, whether in a structured manner or on-the-job. This allows transfer of technology from the consultants to the staff of the hiring or proponent Office.

Similar with in-house studies, it is a prerequisite for this approach to be ventured by Offices with dedicated research and M&E teams or staff. Resources, particularly time and personnel, are needed to ensure success of this set-up.

Table 5. Summary of Approaches and Their Applicability

APPROACH	DESCRIPTION	STRENGTHS	APPLICABILITY
<i>In-house</i>	A study initiated and conducted by DSWD Office/s and its personnel	High program knowledge; Offices use their own time and schedules; High opportunities for learning	OBS/FOs with dedicated Research, M&E Teams; OBS with oversight functions
<i>Fully-outsourced</i>	A study initiated by an Office that is outsourced to a third-party service provider (e.g. individual consultants or research institutions)	Evaluations are neutral and impartial; Less staff time is required from the hiring Office	All OBS/FOs with research and evaluation agenda in a particular timeframe
<i>Joint</i>	A study conducted in close partnership with an individual or team of consultants	Personnel are trained (transfer of technology), and staff learning is high; Balance of neutrality and program knowledge	OBS/FOs with dedicated Research, M&E Teams; OBS with oversight functions

B.2. All reports produced from the conduct of the studies, in any of the approaches by the Department and its partners, both preliminary and final,

shall be submitted to the PDPB, and in the case of the FOs to the PPD, for dissemination to the members of the R&E -TWG, for review or comments. In this process, the coherence of the data gathered, and the strength of analysis applied on the study shall be examined. The R&E – TWG, both in the CO and the FOs, shall recommend to the proponent Office/Unit and/or to the respective Cluster the approval of the report.

- B.3. For students who intend to study SWD concerns, especially the programs and services implemented by the Department, the conduct of the respective studies shall undergo the DSWD Research and Evaluation Protocols (A.O. 19, S. 2011).

C. Monitoring of Researches and Evaluations

- C.1. The PDPB shall maintain a database of the Department's research and evaluation studies, i.e. planned, on-going, and completed, and ensure that all studies pipelined in the Department's Agenda, in each period specified, are pursued. The database shall cover studies conducted or managed by the Department as well as its partners. The database shall include information about the inventory of studies as well as how the findings of completed studies are utilized by the Department and its stakeholders, whenever necessary or applicable.
- C.2. In order to ensure that the database is maintained and up-to date, a report on the studies being undertaken by the DSWD – OBS and FOs, including external researches, capturing all approved proposals and/or final reports, shall be submitted to the PDPB on an annual basis every 30th day of January⁶, using the prescribed template (**See Annex D**). Copies of the reports and proposals shall also be submitted to the PDPB electronically. In addition, the report shall include updates on the utilization of the researches and evaluation studies and other recommendations moving forward.
- C.3. The PDPB, through the R&E TWG, shall conduct a mid-term and end-term review of the implementation of the DSWD Research and Evaluation Agenda. The review will include an assessment of the studies conducted, utilization of the researches completed, as well as challenges encountered in the operationalization of the Agenda, in order to formulate recommendations in improving the research and evaluation system in the Department.

⁶ Amending Section 8.2.1.9 of A.O. 19, S. 2011

D. Utilization of Researches and Evaluation Studies

- D.1. The proponent Office or Unit in-charge of the management of the study shall be responsible in the submission of the report to the Management, as well as in the dissemination of the findings to relevant stakeholders. The results of the studies shall be discussed by the concerned Offices within the organization in their regular and/or special activities. A public forum shall also be organized by the respective Office in order to share the results of the study to concerned stakeholders.
- D.2. Following the dissemination and popularization of completed studies, the findings generated shall be utilized either for policy and/or program development and improvement. This involves determination and marketing of significant findings that are applicable and useful in practice. Utilization occurs once results are considered in decision-making and program improvement, including the development of positions on certain issues, as well as in the formulation and/or amendment of a particular legislation or policy, among others. The report on the utilization of completed researches shall be included in the Inventory of Studies form being submitted to the PDPB on annual basis.
- D.3. Through the knowledge management system, the studies implemented from the Research and Evaluation Agenda will also be shared to various stakeholders and clienteles who can use the studies for the development of other programs and services. The PDPB shall submit to the SWIDB a list and copies of studies that can be shared online for public consumption. Abstracts of completed studies, titles, and authors of studies conducted shall be uploaded to the KM Portal of the Department. Furthermore, printed and/or digital copies of the full reports shall be made available and accessible to the public, through the Knowledge Exchange Center (KEC) in the Central Office and the Regional Learning and Resource Centers (RLRCs) in the Field Offices.
- D.4. To increase awareness and promotion of SWD studies, the PDPB, in partnership with the R&E TWG, shall also conduct annual public fora or conferences to share findings of researches and evaluation studies, for both internal and external stakeholders. In addition, the DSWD shall periodically publish full reports of selected studies through the annual SWD Journal.

VIII. GENERAL POLICIES ON UNDERTAKING RESEARCH AND EVALUATION STUDIES

A. Guiding Principles and Standards of Research and Evaluation

A.1. *Rights of data subjects, confidentiality, and respect.* Evaluators and researchers are expected to respect the diversity of individuals involved and to adhere to the set standards in gathering and handling personal information. This policy shall abide by the provisions of the Republic Act 10173 – Data Privacy Act (DPA) of 2012 to ensure that rights of the data subjects are safeguarded. Specifically, implementers must uphold the following in undertaking research and evaluation activities:

1. Value and safeguard the rights, interests, and dignity of all persons involved. Researchers and evaluators shall be guided by principle of beneficence when involving human subjects in a study.
2. Be sensitive to the cultural, gender, social and economic environment of all stakeholders, particularly those covered by studies and conduct themselves in a manner that is fair and appropriate to the environment.
3. Differences in gender, culture, sector, ethnicity and religion must be taken into account in designing studies, analysis of data and reporting.
4. Under the DPA, lawful collection of personal data shall be ensured. Obtain as appropriate, a written informed consent (or in the case of minor respondents, informed assent). Researchers must ensure that prospective respondents fully understand the purpose, procedures and risks involved with their participation in the study.
5. Consistent to the DPA, obtain information from participants that are only relevant to the study.
6. Respect confidentiality of information provided by the participants, especially, any agreement to grant anonymity. Sensitive information shall remain confidential to protect study participants from potential harm and reprisals.
7. As stated in Chapter IV of the DPA of 2012, the data subjects are entitled to the following rights with regard to processing of their personal information:
 - a. *right to informed when his/her personal information will be, are being or have been processed;*
 - b. *right to be informed on the purpose, methods and other details prior to entry of his or her personal information into the processing system;*
 - c. *right to access his or her personal information;*
 - d. *right to correct data errors or inaccuracy;*
 - e. *right to suspend, withdraw or order the blocking, removal or destruction of his or her personal information from the data handlers; and*
 - f. *right to be indemnified for any damages for inaccurate, unlawful or unauthorized use of personal data.*

8. Give respondents freedom to decline participation or withdraw from the study at any time.

A.2. *Transparency.* At key stages of the evaluation or research implementation, participation of relevant stakeholders shall be ensured, and purpose of the study must be clearly communicated. Study questions, methodology and processes shall be shared and consulted with them to improve ownership and quality of study implementation. Researchers/evaluators shall provide the DSWD (especially with the concerned Offices/Bureaus/Sections and/or Staff) an opportunity to validate and gain knowledge from the results of the research study through an exit conference and dissemination of final study report.

A.3. *Independence and Impartiality.* Potential conflicts of interest must be prevented or reduced to maintain independence of study findings. Studies shall be carried-out without undue influence from any party. While active participation of program implementers and managers is encouraged during various stages of study implementation, findings must be protected from their views to ensure that independence and impartiality are not compromised. It is the responsibility of the proponent Office and the Department to ensure that evaluations are conducted with the highest possible degree of impartiality in order to maximize objectivity and minimize potential for bias.

A.4 *Credibility and Reliability.* It is crucial to ensure credibility and reliability of study results so as to influence or convince DSWD management to integrate research and evaluation findings into the decision and policy-making processes. Along the implementation of the studies, researchers and evaluators shall a) maintain integrity and quality of the study design, framework and methodology; b) employ appropriate study techniques and carry-out accurate analysis; and c) ensure that findings and recommendations are supported by strong evidence.

B. Ownership of Research and Evaluation

DSWD-initiated studies whether conducted in-house, with partners (joint-study), or through outsourcing shall be owned by the Department. However, for those fully outsourced and joint-studies funded by the government and Official Development Assistance fund, ownership can be shared by the proponent Office and its partner research institution. DSWD shall have the proprietary rights to utilize the raw data and actual findings. Any interested individual or group shall be required to seek permission from the DSWD, particularly the OBSU/Field Office that initiated the research/study, if they intend to utilize the data or use for personal and/or academic use. Further, the following policies shall be observed:

1. DSWD may publish, without prejudice to the consultants, all studies that the Department deems necessary for publication.
2. For researches about DSWD but whose proponents are external to the Department, not falling under joint-studies or fully outsourced researches, the proprietary rights over the raw data as well as the research findings is with the external researcher. Herein, the proponents shall recognize the DSWD's support in the conduct of the research study.
3. All above-mentioned protocols in terms of ownership of the research and the confidentiality clause of the raw data gathered by the researchers shall be stipulated in the contract or Memorandum of Agreements or Terms of Reference between the two (2) parties involved in the conduct of studies.
4. Compliance of parties to the provisions of RA 8293 otherwise known as the Intellectual Property Code of the Philippines, particularly Sections 185 (Fair use of copyrighted work), Sections 187 (Reproduction of published work); and Sections 188 (Reprographic reproduction by libraries) shall be observed.

C. Management of Information

DSWD produces ample database that can be used by different stakeholders from public and private sectors, especially those involved in the implementation of social welfare and development programs. The data and information from the DSWD needed for and resulted from research and evaluation studies shall be made available to external partners and researchers.

The provision of relevant data and information by the Department afford full protection to a person's right to privacy, and thus, shall adhere to relevant policies, particularly the Data Privacy Act of 2012, DSWD Freedom of Information (FOI) Agency Manual and other pertinent guidelines on sharing of information with partners and stakeholders.

Consistent with Chapters VI and VII of the DPA of 2012, the Department shall implement appropriate security measures with respect to processing and sharing of personal sensitive data. These measures shall be used to standardize access of data, prevent unlawful and unauthorized use or processing of data, and minimize risks of data breach or accidental/unintentional personal data disclosure.

IX. IMPLEMENTING MECHANISMS

A. Implementing Structures and Mechanisms

- 1. Creation of Research and Evaluation - Technical Working Group.** Two (2) Technical Working Groups are hereby created, i.e., National Research and Evaluation (NR&E-TWG) at the Central Office and the Regional Research and Evaluation (RR&E-TWG) at the Field Offices.
- 2. Composition and Secretariat.** The National R&E-TWG shall be chaired by the PPG and shall have two (2) representatives from all clusters of the Department. Five (5) members from the Core Group of Specialists (CGS) on Research and M&E shall also form part of the TWG. The Assistant Secretary for PPG shall serve as the chairperson of the TWG, while the PDPB shall provide secretariat services.

On the other hand, the RR&E-TWG shall be chaired by the Division Chief of Policy and Plans Division (PPD) of the Field Office and shall have two (2) representatives from all the Divisions in the region. The FO shall also include two (2) members from the regional CGS on Research and M&E. The PDPS shall be the secretariat of the RR&E-TWG.

- 3. Functions of the NR&E -TWG.** The NR&E-TWG shall have the following functions:
 - 3.a Oversee and provide advisory role to all priority, Department-wide, and Department-funded and initiated researches and evaluations;
 - 3.b Partake in the development and implementation of the Department's Research and Evaluation Agenda;
 - 3.c Participate in the review process of research and evaluation proposals and reports for onward submission to the Management;
 - 3.d Assess the ethical considerations of the different research and evaluation studies, and identify studies requiring ethical approval;
 - 3.e Provide necessary technical assistance to CO-OBS and Field Offices in line with research and evaluation;
 - 3.f May act as implementers or co-implementers in the conduct of researches and evaluations to be undertaken by the respective CO-OBS;
 - 3.g Recommend and participate in the regular capability building activities for both the national and regional R&E-TWG members along research and evaluation; and
 - 3.h Attend regular and special meetings and actively participate in the TWG initiatives.

4. Functions of the RR&E-TWG. The RR&E-TWG shall have the following functions:

- 4.a Oversee and provide advisory role to all priority, region-wide and FO-funded and initiated researches and evaluations;
- 4.b Partake in the development and implementation of the Department's Research and Evaluation Agenda, as well as in the cascading of the Agenda at the regional level;
- 4.c Participate in the review process of research and evaluation proposals and reports for endorsement to the Regional Director;
- 4.d Provide necessary technical assistance to research proponents in the region; and
- 4.e Attend regular and special meetings and actively participate in the RR&E-TWG initiatives.

5. Functions of the Secretariat. The Secretariat shall have the following functions:

- 5.a Monitor and coordinate research and evaluation activities of the Department and its Field Offices;
- 5.b Prepare notice of meeting, agenda and proceedings of the NR&E and RR&E-TWG meetings;
- 5.c Review and provide initial inputs on all research and evaluation documents prior to endorsement to the TWG;
- 5.d Prepare reports of all research and evaluation-related activities covered by the TWG;
- 5.e Maintain databank of completed and on-going researches as well as all research and evaluation-related documents; and
- 5.f Convene and provide administrative and logistical requirements for the TWG.

6. Meetings. The national and regional R&E-TWG shall convene regular meetings every semester and may hold special meetings as deemed necessary.

B. Institutional Arrangements

B.1 Central Office

The Policy Development & Planning Bureau shall take the lead role in the implementation of these guidelines and carry out the following tasks:

- 1. Spearhead the formulation of the DSWD Research and Evaluation Agenda, and in particular, it shall prepare the draft agenda and organize the required consultation activities with OBS and partners;

2. Ensure the approval and issuance of the DSWD Research and Evaluation Agenda;
3. Organize, in partnership with the Social Welfare Institutional Development Bureau (SWIDB) and Social Marketing Service (SMS), the necessary public conferences or forum such as for the dissemination of the Research and Evaluation Agenda, as well as for the findings for completed researches evaluation studies;
4. Lead the conduct of research and evaluation studies on topics relevant to the measurement of the organizational outcomes and outputs, as well as for special programs and projects, especially those without dedicated Research and M&E Teams;
5. Develop and maintain a database of inventory of researches and evaluation studies and closely monitor the Department's compliance to its Research and Evaluation Guidelines, specifically on the timelines and topics identified in its Agenda;
6. Provide the reportorial requirements to the Management and stakeholders, such as the oversight agencies, among others, related to the implementation of the research and evaluation studies in the Department; and
7. Develop and implement, together with the Human Resource Development Service and Social Welfare Institutional Development Bureau, a comprehensive capacity building program that shall assist the whole organization in the effective implementation of this policy.

Offices/Bureaus/Services shall partake in the processes identified in this policy, and in particular, it shall:

1. Participate in the formulation of the research and evaluation agenda, specifically in the identification of the proposed topics and areas, among others;
2. Conduct research and evaluation studies, and engage with partners if deemed appropriate, in close coordination with the PDPB, based on the provisions prescribed in this policy;
3. Partake in the development and implementation of other researches and evaluation studies initiated by OBS other than them especially those that concern them or their stakeholders;
4. Attend and participate in all other research and evaluation activities, including the capacity building sessions, organized by the Department to ensure successful implementation of this policy and the results-based agenda.

Social Marketing Service (SMS) and its regional counterpart. In addition to its functions specified as part of the OBS in the Department, the SMS, and its FO counterpart, shall:

1. Organize, in partnership with the PDPB or FO-PPD, relevant conferences and fora for the dissemination of the research and evaluation agenda including research and evaluation findings; and
2. Assist the PDPB or FO-PPD in the development of appropriate communication materials related to researches and evaluation studies, as well as in the packaging of the research and evaluation reports (e.g. electronic and print copies) being submitted to stakeholders.

Human Resource Development Service (HRDS) and Social Welfare Institutional Development Bureau (SWIDB), and their regional counterparts.

In addition to their roles specified earlier, both the HRDS and SWIDB shall:

1. Assist the PDPB or FO-PPD in the development and implementation of a comprehensive capacity building program on evaluation that supports the objectives of this policy; and
2. The HRDS shall integrate research and evaluation in skills trainings provided to the Department's personnel, while SWIDB shall incorporate research and evaluation in the trainings provided to stakeholders, such as the local government units and non-government organizations, among others.

B.2 Field Offices

The Policy & Plans Division through the Policy Development and Planning Section (PDPS) shall take the lead role in the implementation of these guidelines at the Field Office. The PDPS shall then carry out the following tasks:

1. Participate in the development of the DSWD Research and Evaluation Agenda and spearhead the cascading of the same to its respective region;
2. Lead the conduct of researches and evaluations at the Field Office level;
3. In partnership with the Capacity Building Section and Social Marketing Section, shall organize regional research and evaluation conferences and fora in line with the promotion of research and evaluation in the FO;
4. Spearhead the review process of research proposals and reports, with the assistance of the RR&E-TWG;
5. Lead in the organizing of relevant regional forum or conferences related to the dissemination and popularisation of research and evaluation reports;
6. Maintain an inventory of researches and evaluation studies being conducted in the FO and submit annual inventory report to PDPB;
7. Organize capacity building activities, in partnership with the Human Resource Development Division, and provide necessary technical assistance to the FO personnel as well as to the researchers and evaluators.

Sections/units within the Field Office, including Centres and Institutions,
shall:

1. Actively participate in the research and evaluation activities of the Region particularly in the RR&E TWG initiatives; and
2. Initiate studies relevant to their respective programs or services, guided by the provisions of this policy, particularly in Section VII.

C. Funding

1. The DSWD shall endeavour to make funds available to encourage the CO-OBS and Field Offices to conduct researches and evaluations on a regular basis, as prescribed by this policy and the Department Agenda.
2. The PDPB shall include in its Annual Work and Financial Plan a budget for (i) policy-related researches to ensure that at least one (1) Central Office initiated research is implemented per year, and (ii) evaluation studies assigned to the Bureau scheduled to be conducted within the specified time period as indicated in the Department's Agenda. Likewise, an amount of Php300, 000.00 for each Field Office who will request for fund augmentation will be allocated and included in PDPB Annual Work and Financial Plan. The request of Field Offices shall be made prior to the preparation of the WFP, as this will be the basis of the PDPB for fund allocation. In cases that the proposed researches have funding requirement of more than P300,000.00, the FO shall augment additional fund. Moreover, appropriate budget allocations required to ensure the conduct of the various research and evaluation strategies of the Department (i.e. capacity building initiatives, advocacy and dissemination activities such as but not limited to the annual conduct of conferences and publication of journals, and other incentive mechanisms) shall be included in the Bureau's WFP.
3. The DSWD Field Offices and CO-OBS shall also allocate funds for the conduct of researches and evaluations every year, as provided for by the National Evaluation Policy Framework requiring national agencies to allocate funds for the conduct of researches and evaluation studies, especially those implementing core social protection programs. Said budget shall be reflected in their respective Work and Financial Plan. Further, the Field Offices and other OBS can also generate funds from external sources for the conduct of their own research and evaluation priorities in accordance with the existing budgeting, accounting and auditing rules.
4. The PDPB shall work closely with the Technical Assistance Unit to generate resources from external partners, which shall be used to augment research and evaluation needs of the Department including its Field Offices and OBS.

Conduct of researches under resource augmentation from TAU shall also ensure adherence to the requirements prescribed by external partners.

X. Transitory and Repealing Clause

As part of transition, all researches and evaluations that are ongoing prior to the issuance of this policy shall be implemented as planned. However, studies that have not commenced yet but with already approved proposals or designs shall be implemented following the standards and procedures set forth by this policy.

All guidelines inconsistent with the provisions of this Memorandum Circular are hereby repealed, modified or amended accordingly.

XI. Effectivity

This Memorandum Circular shall take effect immediately.

Issued in Quezon City this 15th day of May 2019.


ROLANDO JOSELITO D. BAUTISTA
Secretary

Department of Social Welfare and Development


W 5.16.19

Annexes

Annex A – Formulation of Research & Evaluation Agenda

Annex B – Outline for Research/Evaluation Proposals

Annex C – Template for Ethical Clearance Certificate

Annex D – Inventory of Research and Evaluation Studies Conducted by DSWD

ANNEX A. FORMULATION OF THE DSWD RESEARCH AND EVALUATION AGENDA

A. Scope and Coverage

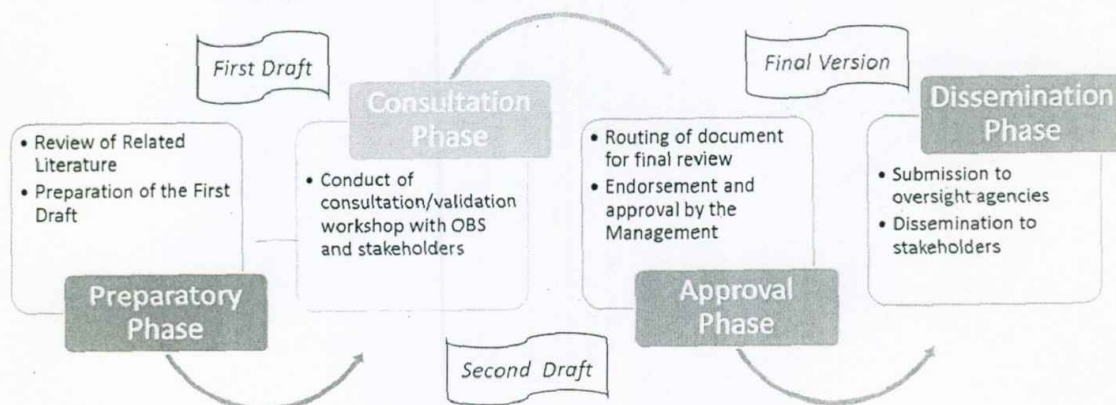
In order to guide the Department and its key stakeholders on the conduct of researches and evaluation studies along social welfare and development (SWD), a five-year Research and Evaluation Agenda shall be formulated and issued. Anchored on the Department's existing results framework, the Agenda shall serve as the organizational blueprint on researches and evaluations in the Department containing the various relevant areas, milestones, and implementation arrangements on the different studies related to SWD.

As an organizational policy document, the Agenda, which shall be prepared every five (5) years, shall be comprehensive and holistic to ensure that it will be responsive to the emerging needs and concerns of the SWD sector. The document will serve as a reference guide not only of the Department and its Offices, but also of its partners, including student researchers, in the selection of topics and implementation timelines along the conduct of researches and evaluation studies. Although the policy emanates from the Department, the document shall be produced in close coordination with its key stakeholders. As the Agenda covers strategic and organizational-level topics and areas, the various Offices in the Department, including its programs and services, may formulate their own respective agenda anchored on the Department-wide Agenda, to capture more operational and program-level researches and evaluations.

B. Crafting of the Agenda: Process Flow

The figure below shows the overall process in the formulation and dissemination of the Department's Research and Evaluation Agenda.

Figure 2. Process Flow



There are four (4) major phases in the development of the Agenda, namely: (i) Preparation; (ii) Consultation; (iii) Approval; and (iv) Dissemination.

(i) Preparation Phase

The crafting of the DSWD Research and Evaluation Agenda starts with the preparation of the first draft of the document by the PDPB through a rigorous review of related documents, such as but not limited to the studies conducted in previous years, the SWD situational analysis¹, monitoring and evaluation reports (e.g. DSWD Assessment Reports), and existing approved results framework. In consideration of the various relevant reference materials, the PDPB prepares and submits the first version of the Agenda to its Cluster Head for initial approval.

The first draft of the Agenda, at the minimum, shall cover the (a) Research and Evaluation Framework to be used by the Department during the planning period specified; (b) proposed researches and evaluation areas or themes, together with the recommended list of priority topics; and the (c) institutional arrangements necessary to ensure the effective implementation of the Agenda.

The drafting of the Agenda shall commence 15 working days after the issuance of the Department's medium-term Strategic Plan which reflects the organizational Results Framework. The draft Agenda shall be ready for consultation after 20 working days.

(ii) Consultation Phase

After the initial approval of the document at the PPG Cluster level, the draft Agenda will be presented to the different Offices, Bureaus, and Services (OBS), both at the Central Office (CO) and Field Offices (FOs), of the Department through a consultation and validation workshop organized by the PDPB. The key stakeholders of the Department such as members of the academe, research institutions, and other partners, are also invited in the workshop.

The workshop primarily aims to validate the content of the first draft of the Agenda as well as gather new insights from the participants to further improve the document. Among others, the participants shall identify areas or topics for researches and evaluation studies, suggest other relevant activities deemed necessary for the Department, and recommend strategies that will help ensure the success of the Agenda's implementation. As the participants also serve as implementers of the Agenda once the document has been approved, the consultation workshop also intends to instill ownership among them.

As part of the consultation activity, prioritization of topics and areas will be discussed and agreed upon by the participants. In order to effectively execute this process, criteria will be used as shown in *Table 1*. As a result of the workshop, the second

¹ Research topics are identified based on the emerging issues concerning the poor, vulnerable, and disadvantaged sector.

version of the Agenda is developed. The consultation activities shall be undertaken within 30 days once the first draft of the Agenda has been approved by the PPG Cluster Head.

Table 1. Criteria in the Prioritization of Topics

Criteria	Percentage	Description
Relevance	40%	<p>A topic is considered relevant if (a) the main problem or evaluation question relates to issues that affect a great number of SWD sectors and/or (b) provides insight to important SWD legislation/s, whether proposed or existing. <i>(E.g. How large or widespread is the problem? Who is affected? How severe is the problem?)</i></p> <p>Relevance also means being (c) responsive to emerging issues and trends as well as being (d) directly linked to key indicators in the Department's results framework.</p>
Timeliness	30%	<p>A topic is considered timely and urgent if it requires immediate action or attention in order to respond to a pressing issue or concern. Herein, the result of the study is needed to aid in decision-making as well as in developing critical interventions at various levels to address the problem or issue.</p>
Feasibility	20%	<p>A topic is deemed feasible or doable if there are available time and resources (e.g. human and financial) to conduct the study. In determining a topic's feasibility, the availability of resources in the organization, whether internally or with external support, shall be considered.</p> <p>The topic can also be considered feasible when it recognises possible partnerships necessary to implement the study.</p>
Acceptability	10%	<p>A topic must be firmly grounded on cultural sensitivity and be aligned with the basic ethical principles of autonomy, beneficence, and justice. Topics identified should not inflict harm and pose psychological and other risks to both respondents and researchers/evaluators while carrying out the study.</p>

(iii) Approval Phase

After the second draft of the Agenda had been formulated, the process for the document's approval commences. First, the document will be shared to the DSWD – OBS and FOs for final review and comments. If there are comments received by the PDPB, these shall be assessed and incorporated in the draft Agenda. After which, the

draft Agenda will be presented to the Management Committee (MANCOM) for approval. If the MANCOM approves the document, this shall be endorsed to the Executive Committee (EXECOM) for deliberation. On the other hand, if additional comments were received during the MANCOM review, these shall be considered by the PDPB for integration in the draft document. The enhanced draft will then be re-submitted to the MANCOM, for approval to endorse to the EXECOM.

Once the document has been endorsed to the EXECOM, this shall be deliberated for final approval. If comments were provided by the members of the EXECOM, this shall be incorporated in the latest draft Agenda and submitted back to the EXECOM once enhanced. Alternatively, if no more comments have been provided, the document is deemed approved and issued for dissemination. The entire approval process shall not take more than 45 working days once submitted to the Management.

(iv) Dissemination Phase

The approved five-year Evaluation Agenda will be shared to (a) all CO – OBS and FOs, and to (b) all the key stakeholders of the Department. As part of the DSWD's key stakeholders, the oversight agencies such as but not limited to the National Economic and Development Authority, Department of Budget and Management, and Office of the President, shall receive a copy of the said document. The same shall also be uploaded in the DSWD website for easy access of the concerned public.

As deemed necessary, a public forum may also be conducted by the DSWD to serve as a venue to officially share the document to its stakeholders. The academe, private sector, international and national development organizations, and individual researchers, among others, who wish to conduct researches or evaluation studies in line with the DSWD Agenda may be involved. The public forum will be able to discuss the content of the Agenda thoroughly and explain relevant provisions to the stakeholders that concern them. Furthermore, the forum may also serve to promote the Agenda of the Department for possible partnerships with individuals and organizations.

To further support the dissemination of the Agenda, the DSWD - Field Offices may also use the established and functional stakeholders' platforms [e.g. Regional Convergence Committee, Area-based Standards Network (ABSNET), Social Welfare Development Learning Network (SWDLNET)] as avenues for engagement with stakeholders. Moreover, the Field Offices shall endorse the Agenda to the Regional Development Council - Regional Research Committee (RDC-RRC), and together with the Central Office shall share the Agenda with Higher Education Institutions (HEIs), especially institutions who offer social work and/or other courses relevant to SWD for their reference.

The dissemination of the Agenda shall take place within 30-60 days after the Agenda has been formally issued.

(See attached detailed Business Process Map)

C. Updating of the Agenda

Anchored on the Department's Strategic Plan, the Agenda shall be updated accordingly following the conduct of the mid-term review on the DSWD Results Framework. The results of the mid-term review shall guide the updating of the Agenda, such as on the following:

- Changes on priority topics based on the revised Results Framework;
- Inclusion of new topics or areas based on emerging issues and concerns; and
- Updating of timelines based on actual implementation and utilisation of funds.

To effectively update the Agenda, the following steps shall be undertaken:

1. PDPB prepares first draft of the updated Agenda based on the results of the mid-term review of the DSWD Strategic Plan
2. PDPB requests inputs from all OBS and FOs for consolidation
3. PDPB submits draft updated Agenda to the Management for approval
4. PDPB, in partnership with the SMS, shall disseminate the approved updated Agenda. The same shall be disseminated and cascaded to the Field Offices thru the Policy and Plans Division. The FO-PPD shall disseminate the updated Agenda with the rest of the FO staff.

D. Office/Program-Level Research and Evaluation Agenda

OBS from the Central office and the Field Offices are not precluded from preparing their respective Agenda that shall guide their Office or Program in doing studies that are relevant and timely based on their needs and requirements, towards the promotion of evidence-based decision-making.

In doing so, the OBS and FOs shall be guided by the following:

1. The OBS/FO-level agenda should be aligned to the Department's Agenda and should support the overall objectives of the DSWD as reflected in its Strategic Results Framework.
2. The OBS/FOs shall adhere to the R&E Framework of the Department, and in particular shall:
 - A) Implement the same standards and criteria for research and evaluation; and
 - B) Base their respective agenda with their own Results Framework or Theory of Change which stipulates the Program/Office outcomes and outputs.
3. Process-wise, the OBS/FOs shall at the minimum follow the key procedures in the development of the agenda, as stipulated in this policy. Specifically, the agenda should be:
 - A) Consulted with key stakeholders of the Office/Program, including but not limited to the R&E TWG of the Department;
 - B) Submitted under the regular policy development process.

ANNEX B.

OUTLINE FOR PROPOSALS¹

I. Title

- The title should be clear and concise. Clear in this sense mean that the title can easily depict what type of research or evaluation is intended to be conducted (example: An Impact Evaluation of the Pantawid Program; A Rapid Assessment of the Social Pension; A Case Study on AICS Implementation, etc.).

II. Rationale and Objectives

- This portion should include the statement of the problem and the general and specific objectives of the study, an in particular should include the overall purpose of the study, its alignment to the Department's Agenda, contribution to new knowledge, as well as the sector/s it intends to affect.
- Having discussed the objectives of the study, the research/evaluation questions should also be clearly specified in this portion.
- The scope and limitations of the study should also be mentioned.
- The conceptual/evaluation framework of the study showing the different variables to be investigated and their relationships, should also be shown in this section.

III. Review of Related Literature

- This section should adequately identify previous studies done related to the problem/need stated. The review of related literature must show exactly how and why the research/evaluation question/s or hypothesis was formulated and explain why the study is being proposed as a result of the review.
- Note: Appropriate referencing procedures should always be followed in research proposals and reports. For reference citation and formatting the American Psychological Association (APA) Style is advised to be used for in text and endnotes.

IV. Research/Evaluation Design

- The research/evaluation design is a plan, structure and strategy of investigation developed by the proponent in order to obtain answers to the identified research questions or problems. It includes an outline of what the investigator will do from writing the hypotheses/questions to the final analysis of the data and preparation of the report.
- The type and design of the study should be based on the proposed objectives of the study and availability of resources.

¹ This outline provides the minimum information required to be included when submitting research and evaluation proposals.

- The sampling methodology should also be clarified in this section. It is important to identify the target population from whom data or information will be taken, including the inclusion/exclusion criteria, if needed. A good sampling design should consider the representation of the population, adequacy of sample size, as well as principles of practicality, feasibility and efficiency. A discussion on sampling techniques, whether to employ probability or non-probability sampling techniques, should also be included.
- The variables to be collected or studied should be specific and measurable. It should be based on the study objectives. Further, the variables to be studied should be reflected in the data collection tool/s and the types of data to be collected should be determined.
- A discussion of methods of data collection (e.g. observation, self-administered questionnaires, interviews, FGDs, or documentary sources).
- This section shall also include a discussion of the data processing and plan for analysis, including the statistical tools to be used.
- The schedule of activities and timelines for the conduct of the study should be clearly stipulated.

V. Budgetary Requirements

- This section should present the funds needed to conduct the study and show a justifiable and itemized breakdown of the total cost of the study, including the following:
 - o Human Resource Requirements (e.g. Consultant, Facilitators, Interviewers, Enumerators, Encoders, etc.)
 - o Supplies and Materials
 - o Transportation/Travelling Costs
 - o Printing/Reproduction Expenses
 - o Conduct of Meetings/Coordination Activities

VI. Bibliography/References

- All sources and references used in the drafting of the proposal should be specified.

**Department of Social Welfare and Development
National Research and Evaluation - Technical Working Group**

Clearance No. _____

Series of (year) _____

ETHICAL CLEARANCE CERTIFICATE

This is to certify that the research entitled, " _____ ", of the (OBSU/Field Office Name) has been reviewed and approved by the (National/Regional) Research & Evaluation Technical Working Group as to ethical acceptability.

The researchers involved in the aforementioned study shall abide by the prescribed ethical considerations at all times during the conduct of the study. The (N/R) R&E-TWG shall not be held liable for any ethical issues or concerns resulting from the conduct of the study due to deviations from the approved documents.

This clearance is issued on (date), Quezon City.

(Name)

Chairperson, (N/R) R&E-TWG
(Designation of the Official)

INVENTORY OF RESEARCHES & EVALUATION STUDIES

Field Office/CBS:

Year:

NO.	TITLE OF RESEARCH/EVALUATION STUDY	STATUS	OBJECTIVE	PROPOONENTS	RESEARCH EVALUATION TYPES	APPROACHES ON THE CONDUCT OF RESEARCHES AND EVALUATIONS	RESEARCH AREA	SECTOR	PLACE OF RESEARCH/EVALUATION STUDY	DATE OF APPROVAL	DATES OF DATA GATHERING ACTIVITIES	DATE OF COMPLETION	FOR COMPLETED RESEARCH/EVALUATION STUDIES			Research Dissemination		RESEARCH UTILIZATION		BUDGET		REMARKS
													SUMMARY OF SIGNIFICANT FINDINGS / RESULTS	RECOMMENDATIONS	DATE OF COMPLETION	Type of Dissemination	Date of Dissemination	New/Existing Policies Formulated/Enhanced	New/Existing Social Technologies Developed/Enhanced	Budget Allocation	Actual Utilization	
1																						
2																						
3																						
4																						
5																						
6																						
7																						
8																						
9																						
10																						

Prepared by:

Noted by:

Name and signature of Focal Staff

Designation

Name and Signature of Regional Director

Date

INSTRUCTIONS:

1. Use the Excel file of the research inventory for easy collation of inventories.
2. Each cell of the inventory has instructions when you click on the cell you want to fill out.

Field Office: Choose from the list.

Year: Choose from the list.

Column 1 - TITLE OF RESEARCH/EVALUATION STUDY: Input the title of the research/evaluation study.

Column 2 - STATUS: Identify whether the research/evaluation study is approved, ongoing, or completed.

Column 3 - OBJECTIVE: Input the general objective of the research/evaluation study.

Column 4 - PROPOONENTS: Indicate the name of head of CSU that served as the proponent of the research/evaluation study.

Column 5 - RESEARCH/EVALUATION TYPES: Choose from the list the type of research/evaluations used in the research/evaluation study.

Column 6 - APPROACHES ON THE CONDUCT OF RESEARCHES AND EVALUATIONS: Choose from the list the approaches used in the research/evaluation study.

Column 7 - RESEARCH AREA: Choose from the list the focused research area of the research/evaluation study.

Column 8 - SECTOR: Choose from the list the focused sector of the research/evaluation study.

Column 9 - PLACE OF RESEARCH/EVALUATION STUDY: Input specific place where the research/evaluation study will be/was conducted.

Column 10 - DATE OF APPROVAL ON RESEARCH/EVALUATION STUDY: Input date of the approval of the research/evaluation study. Follow the format: mm/dd/yyyy

Column 11 - DATES OF DATA GATHERING ACTIVITIES: Input dates of data gathering of the research/evaluation study. Follow the format: mm/dd/yyyy

Column 12 - DATE OF COMPLETION: Input date of completion of the research/evaluation study. Follow the format: mm/dd/yyyy. For ongoing or ongoing studies, indicate the expected date of completion.

Column 13 - SUMMARY OF SIGNIFICANT FINDINGS / RESULTS: Input summary of significant findings and results of the research/evaluation study.

Column 14 - RECOMMENDATIONS: Input major recommendations of the research/evaluation study.

Column 15 - DATE OF COMPLETION: Input date of completion of the research/evaluation study. Follow the format: mm/dd/yyyy

Column 16 - TYPE OF DISSEMINATION: Input the type of dissemination conducted. It can be through public forum, presentation during inter agency meeting, regional development committee meeting and sharing to knowledge management.

Column 17 - DATE OF DISSEMINATION: Indicate the date of dissemination.

Column 18 - New/Existing Policies Formulated/Enhanced: If the utilization of research is through development of new policy or enhancement of existing policy, input the title of policy and short statement on how the research has been utilized or considered in the new policy or amendment of the

Column 19 - New/Existing Social Technologies Developed/Enhanced: If the utilization of research is through development of new social technologies or enhancement of existing social technologies, input the name of program and short statement on how the research has been utilized or considered in the new program or

Column 20 - Budget Allocation: Indicate the approved budget for the conduct of study.

Column 21 - Actual Utilization: Indicate the actual budget/funds utilized by the study (as of latest reporting period).

Column 22 - REMARKS: Input remarks or other notes.

INVENTORY OF RESEARCHES & EVALUATION STUDIES

Field Office/DOE:

Year:

NO.	TITLE OF RESEARCH/EVALUATION STUDY	STATUS	OBJECTIVE	PROPOSITOR	RESEARCH EVALUATION TYPES	APPROACHES ON THE CONDUCT OF RESEARCHES AND EVALUATIONS	RESEARCH AREA	SECTOR	PLACE OF RESEARCH EVALUATION STUDY	DATE OF APPROVAL	DATES OF DATA GATHERING ACTIVITIES	DATE OF COMPLETION	FOR COMPLETED RESEARCH/EVALUATION STUDIES			Research Dissemination		RESEARCH UTILIZATION		BUDGET		REMARKS
													SUMMARY OF SIGNIFICANT FINDINGS/ RESULTS	RECOMMENDATIONS	DATE OF COMPLETION	Type of Dissemination	Date of Dissemination	New/Existing Policies Formulated/Enhanced	New/Existing Social Technologies Developed/Enhanced	Budget Allocation	Actual Utilization	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
1																						
2																						
3																						
4																						
5																						
6																						
7																						
8																						
9																						
10																						

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Column 2 - STATUS: Identify whether the research/evaluation study is approved, ongoing, or completed.

Column 3 - OBJECTIVE: Input the general objective of the research/evaluation study.

Column 4 - PROPOSITOR: Indicate the name of Head of DO/DOU that served as the proponent of the research/evaluation study.

Column 5 - RESEARCH/EVALUATION TYPE: Choose from the list the type of research/evaluations used in the research/evaluation study.

Column 6 - APPROACHES ON THE CONDUCT OF RESEARCHES AND EVALUATIONS: Choose from the list the approaches used in the research/evaluation study.

Column 7 - RESEARCH AREA: Choose from the list the focused research area of the research/evaluation study.

Column 8 - SECTOR: Choose from the list the focused sector of the research/evaluation study.

Column 9 - PLACE OF RESEARCH/EVALUATION STUDY: Input specific place where the research/evaluation study will be conducted.

Column 10 - DATE OF APPROVAL ON RESEARCH/EVALUATION STUDY: Input date of the approval of the research/evaluation study. Follow the format: mm/dd/yyyy

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Column 12 - DATE OF COMPLETION: Input date of completion of the research/evaluation study. Follow the format: mm/dd/yyyy. For upcoming or ongoing studies, indicate the expected date of completion.

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Column 19 - New/Existing Social Technologies Developed/Enhanced: If the utilization of research is through development of new social technologies or enhancement of existing social technologies, input the name of program and short statement on how the research has been utilized or considered in the new program or

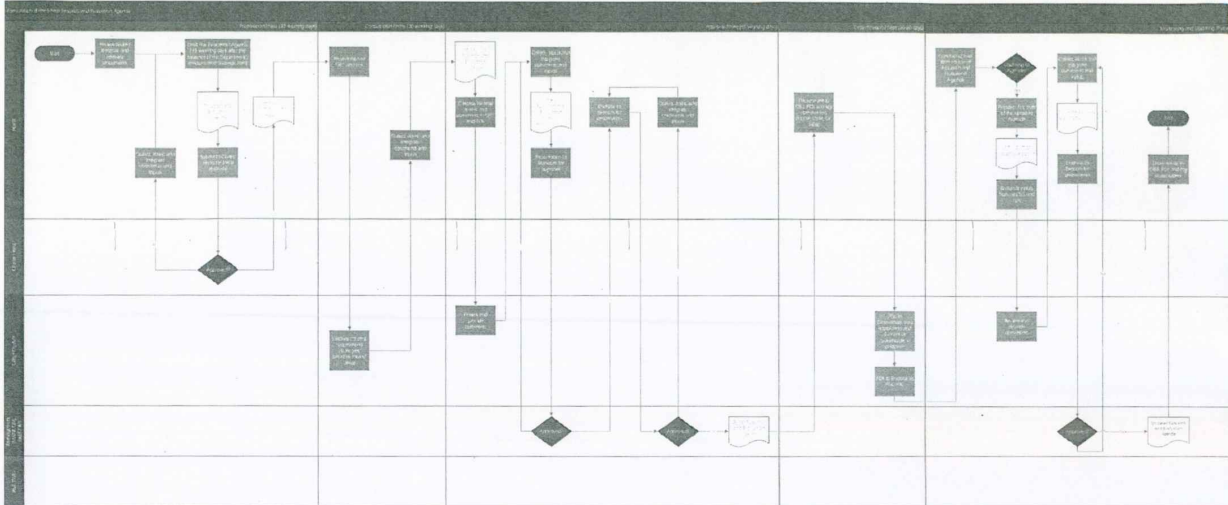
Column 20 - Budget Allocation: Indicate the approved budget for the conduct of study.

Column 21 - Actual Utilization: Indicate the actual budget/funds utilized by the study (as of latest reporting period).

Column 22 - REMARKS: Input remarks or other notes.

Internal DSWD

Field Office/Div Year	Day	Month	Status	RESEARCH AREA	RESEARCH/EVALUATION/IE TYPES	APPROACHES ON THE CONDUCT OF RESEARCH	sector	StartDate	EndDate	DateApp
I	2018	1	1 Approved		Descriptive Research	In-house	Children			
II	2019	2	2 Ongoing		Experimental Research	Fully-outsourced	Youth	1/1/2017	12/31/2017	1/1/2010
III	2020	3	3 Completed		Action Research	Joint	Women			
IV-A	2021	4			Policy Research		PWDs			
IV-B	2022	5	5		Case Study		Older Persons			
V	2023	6	6		Longitudinal Study		Family			
VI	2024	7	7		Ethnography		Community			
VII	2025	8	8		Prospective IE					
VIII	2026	9	9		Retrospective IE					
IX	2027	10	10		Process Evaluation					
X	2028	11	11							
XI	2029	12	12							
XII	2030	13								
NCR	2031	14								
NIR	2032	15								
CAR	2033	16								
CARAGA	2034	17								
PDPB	2035	18								
SB		19								
STB		20								
PSB		21								
NHTO		22								
DREAMB		23								
NPMO-PANTAWID		24								
NPMO-SLP		25								
NPMO-KALAHI		26								
		27								
		28								
		29								
		30								
		31								



Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
Technical Assistance Unit	Page 9, Types of Researches and Evaluation	First paragraph, to restate, to include the phrase, <i>including but not limited to the following</i>	Considered
	Page 11, Research Standards	Relevance is defined as being responsive to emerging issues and trends as well as being directly linked to key indicators in the Department's results framework. Timeliness is defined as, intends to respond to a pressing issue or concern; needed to aid in decision-making as well as in developing interventions (to) address a critical or immediate problem or issue. Based from their descriptions/definitions, the standard on timeliness may be subsumed under relevance, as the latter implies that a response should be timely to be relevant.	Description of relevance was revised to denote significance to SWD and the Department's RF; while description of timeliness is retained.
	Page 13, Evaluation Criteria	The TAU suggests to include a non-discriminatory criterion to refer to the extent to which policies and programs of the Department support equal opportunity or access to services; or the extent to which the program or policy is implemented with due regard to differences on account of gender, culture, religion, etc.	The Evaluation Criteria should denote what aspect of the RF is being investigated. Non-discriminatory is a guiding principle that is reflected in the general policies.
	Page 19, Item C.2	The TAU recommends that budgetary allocation and actual utilization for researches conducted be highlighted also to gauge/quantify efforts on	Considered. Annex B is revised.

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
		research and evaluation studies in pursuit of the Department's research and evaluation agenda. The template in Annex B does not capture budgetary data.	
	Pag 27, item 4	We find the provision pertaining to the TAU acceptable	Noted, with thanks
	General	The ampersand is not used in formal writing. It should be replaced with "and" in all instances it appears in the draft MC.	Retained for R&E/M&E terms which are deemed acceptable
Community Programs and Services Bureau	Definition of Terms	Cite sources for definition of Research and Evaluation	Considered
	Development of Proposals	Provide template for project proposals – to ensure that all important information will be covered	Considered
		Budget parameters might help prospective researchers	Will be covered in a separate document
	Utilisation and Promotion of Researchers	Clarify the word Management	The policy is clear in using Management (DSWD Officials) vs. management (e.g. project management).
		A separate guideline on the SWD journal should be issued to determine which articles are to be included in the journal	There is a separate guideline (AO 14, S. 2017).
	Implementing Mechanisms	To use NR&E to refer to the R&E TWG at the Central Office	Considered
	Funding	The draft guidelines should consider the possible implementation of cash-based appropriations for CY 2019	Timelines are compliant
	General Policies	To include "Ethical Clearance" requirement from schools, i.e.	Considered

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
		<p>Ethical Clearance for Research. Research integrity embodies a range of good research practice and conduct which can include intellectual honesty, accuracy, fairness, intellectual property, and protection of human subjects, involved in the conduct of research.</p> <p>Ethical approval is required for all research that involves human participants, including the use of data derived from humans. Research requiring ethical approval must not begin without full prior approval.</p>	
Sustainable Livelihood Program	Section VII, Research Proposals	To include a section explaining the treatment for those proposed studies that are not part of the research agenda. What will happen to these studies?	Considered
		- Including those unqualified proposals	
		To provide examples of studies included in social technology development process	Clarified, page 15
		Provide timeline for proposal development, review of proposals and approval of proposals	Considered (will be incorporated in the Manual)
	B. Conduct of Researches	Clarify what will happen to the ongoing studies being implemented by OBSUs? Do we need approval of the final report?	Considered, transitory clause, page 29
		To include limitations in the conduct of in-house studies by CO or FO in relation to types of research and evaluations	OBS/FOs can conduct in-house studies provided they have dedicated R/M&E teams
	D. Utilization of Researches and Evaluations	Instead of SWD Journal, rename to SWD Research Journal	SWD Journal contains not only researches but other relevant materials on SWD

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
	Section VIII. Guiding Principles	To explicitly mention the Data Privacy Act (e.g. every survey questionnaire must have a consent and confidentiality clause)	Considered
		Re-phrase: To obtain information from participants that are only relevant to the study.	Considered
	Section IX. Implementing Mechanisms	Composition of TWG: To identify who are these permanent and alternate members of OBSUs that will form part of the TWG	Considered.
	Annex A	To provide guidelines for the formulation of R&E Agenda by the OBSUs or is this policy going to be the guidelines to be used as basis by the OBSUs?	Considered. See page 5 of Annex A
Protective Services Bureau	General	The policy will support the research and evaluation endeavours of the Department.	Noted
	Funding	Since programs have limitations, PDPB is requested to submit an annual budget proposal for the R&E program of the Department so that we can finance the whole DSWD research and evaluation activities	Considered
Standards Bureau	General	Clarify the enumerated policies being amended by the draft MC in the rationale; thus, no longer valid for use	Considered
	Framework	In the narrative, include discussion of the connections between the five elements, e.g. how does the R&E support the DSWD RF, etc.	Considered, revised framework, pages 10 to 11
		Expond the role of the external researchers – how can they assist the DSWD in learning and generating knowledge for its RF	Considered, page 11
	Section VIII. Operationalisation	A separate guideline detailing the step-by-step process in the conduct of research without dedicated R/M&E Teams can be issued	Considered (will be reflected in a separate Manual)

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
Social Marketing Service	Development of Proposals	Provide an option for proponent OBS to call a meeting with the R&E TWG to clarify the comments on the proposal	This is clear in the detailed BPM (included in the Manual)
	Annex B	Include a column specifying the utilisation of the research findings	Considered
	Implementation	Specify source of funds for relevant dissemination activities	Considered, see Funding section
		What form of packaging is needed and source of funds?	Source of funds – PDPB, see Funding section; Form of packaging – mentioned, page 27
Field Office NCR	General	Include mechanisms/tools on utilisation and monitoring of research results/recommendations	Already included in the existing policy – page 19.
		Change Planning Unit to Policy Development and Planning Section	Considered
		Include the needed requirements for school related research activities; process of requesting school related research activities, data-banking, and archiving of research outputs	To be discussed in the policy amending AO 19, S. 2011
		Have a MOA with schools for research activities	
		Include provisions of Data Privacy Act of 2012	For review
	Page 2, Evaluation Criteria	Include: Time/Periodic Review – Review of significant point in program progress and level of results	Periodic Review is part of the HPMS (small e)
	Page 5, Definition of Terms	Include all the terms defined in the body to this section (e.g. Research and Evaluation)	Terms are discussed in the body to provide more context. It will be

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
			redundant to put it in the Definition of Terms
	Page 7, Research and Evaluation Framework	Include Gender Responsive and Sensitive research for research standards	Reflected in "Acceptability"
	Page 9, Types of Researches	Consider classifying the research as quantitative, qualitative, and mixed research than enumerating the types of researches	These are methods not categories of research
	Page 13, Strategies	Strong and intensive capacity building program – conduct training needs inventory and identification of core group to roll out the training	There is an existing CB Plan
		Partnership with key stakeholders – ensure to have MOA for every partnership and updating of Directory	Partnership depends on the approach; each approach has MOA
		Advocacy – include presentation/sharing of success stories, good practices of the results and impact of research/evaluation conducted	Already included in the policy – page 14
	Page 14, Development of Research and Evaluation Proposals	Ensure that the external partners/proponents are registered/licensed and or accredited by the Department	Only SWAs are being licensed, not research institutions and academe; applicable to CSOs only
	Page 15, Process Flow	Indicate the next step after the approval/disapproval of the proposal	Considered, page 16
	Page 16, In-house studies	Indicate the process/mechanism of in-house studies in the Field Office, maximizing the pool of monitoring and evaluation focal persons from different units	This is provided under implementing mechanisms
		Check the possibility of including the provision of incentive/reward for the staff conducting in-house studies	Considered

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
	Page 16, Fully-outsourced studies	To have MOA with third party researchers.	Outsourced consultants are forged thru contracts
	Page 20, Transparency	Include sharing/furnishing copy of the completed researches/studies for information and further improvement; Consider involvement of the concerned staff to take part on the comments or suggestions	Already indicated in the existing policy – pages 19-20 This is a role of the R&E TWG members – staff are the members
	Page 22, Composition of Secretariat	Include Centre/Residential Care Facility representative and at least one Social Welfare Specialist as member	Clarified under Composition
Field Office XI	Conduct of Researches and Evaluations	Consider: - NSCB Resolution No.4-88 Clearance of Statistical Survey Forms and Questionnaires - NSCB Resolution No.4-95 Statistical Survey Review Clearance System	Considered
	Monitoring of Researches and Evaluations	FOs to provide list of research request to the colleges/universities that are due for submission of the research report every semester The research report submitted by the students will be placed in the RLRC	For consideration in the amended AO 19, s. 2011 This is included in page 20
	Composition of the Research and Evaluation TWG	Include Research and Evaluation Focal Person/M&E Officers of the Promotive Services Division	Already included in the policy – page 24
Field Office V	Page 15, Development of R&E Proposals	Will the RR&E TWG replace the RR&D TWG?	Yes

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
	Page 16, In-house studies	M&E Staff of the program being evaluated shall inhibit from the conduct of the evaluation to ensure objectivity	Not applicable
	Page 25, Institutional Arrangements	DSWD Staff undergoing academic research can be tapped to undertake evaluation studies for DSWD provided possible support and funding (HRDS)	Considered
	Page 26, Funding	What is the basis for the P300k fund? Would it be possible to adopt the P600k funding?	Based on previous studies conducted
	General/Others	How can we ensure the allocation of 3% for R&E similar to GAD?	Through WFP workshop
		Is there any update on the DSWD Research and Evaluation Agenda for 2017-2022?	Not in this policy
		Kindly be consistent with Office/Unit names with AO 1, S. 2018	Considered
FO IVB	General	Review specific guidelines on researches that utilise human/individuals (bioethics)	Included a provision on ethical approval
		Does this policy include program level assessments?	It covers "policies, programs, projects" - page 7
		Any clause or guidelines for the formulation of program specific/level research and evaluation protocols? E.g. Pantawid; does this aim for standardisation/centralisation of research and evaluation processes?	Offices are not refrained from creating their own policies anchored on the DSWD policy. But it is not required. This policy may suffice.
	Framework	How is this connected to the Policy Development Framework?	See R&E Framework – pages 10-11
		How the HPMES findings can be interconnected with the process of identification of priority topics for evaluation?	See Annex A, page 2 (assessment report is an output of HPMES)

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
	Strategies	PDPB to administer Learning Needs and Capacities Assessment (LNCA) and develop a national CB plan	There is an existing CB Plan
	Research Standards	Can we add applicability standards, ethical standards (that address various thematic research agenda) or proportionality standard (limitation of the research that DSWD will allow based on the proponent's capability and background)?	Ethical standard is part of acceptability
	Operationalisation of Research and Evaluation Studies	Develop more detailed business processes - with timelines	There is a business process (timelines will be incorporated).
		Include the timelines in the process of the development of the Research and Evaluation Agenda – as well as the processes in terms of updating the agenda.	Considered
		What is the role of the external stakeholders in the development of the Research and Evaluation Agenda?	Page 2 of Annex A
		It is recommended to either update AO 19 or formulate separate guidelines on the conduct of in-house studies	AO 19 2. 2011 will be amended thru a separate policy
		It is mandated for the region to conduct researches within the implementation period of the framework. If this is the case, a designated staff must be hired (or a creation of a separate structure).	FOs are not mandated to conduct their own researches; it depends on the research agenda; a research officer is part of the current set-up
	Monitoring researches	Can the FOs include narratives stipulating other research activities conducted, e.g. Saliksi-Kit?	Yes. This is captured in Annex B
	Institutional Arrangements	It would be better if the roles of the SMSection and HRDSection is clearly stated.	Considered
		Functions of national and regional TWGs may also include the creation of pool of research experts on SWD	CB is already captured in the functions; creation of pool may be under the CGS guidelines

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
		themes to create avenue to increase capabilities and competency.	
Field Office II	Operationalisation of Research and Evaluation Studies	No need to mention "in line with the Department's Agenda", since all studies are all along SWD	But not all SWD studies are in line with the Agenda
	Process Flow	Use the standard process flow to ensure common understanding	The process flow is a simple representation. The detailed flow is in Annex A.
	In house studies	Delete 2 nd paragraph and remove last sentence of third paragraph	Existing statement is needed
	Table 1 Summary of Approaches	Insert "but have no research and M&E Teams"	Applicable to all with or without dedicated research and M&E teams
	VII. B.3	Remove the word "official"	Considered
	IX. Implementing Mechanisms	Suggestion to convene at least every quarter and hold special meetings as deemed necessary	Changed to semestral
Field Office CARAGA	Coverage and Applicability	Is the AO repealing or amending the AO 19, S. 2011?	It amends relevant portions of the AO 19, s. 2011.
	Section VII. Operationalisation of Research and Evaluation	The Section does not the maximum number of processing time especially on transactions involving external clients or applicants (Ease of Doing Business)	This will be covered under the revised policy amending the AO 19, s. 2011
	Implementing Mechanisms	A regular semestral meeting is much more feasible	Considered
	General	Use AO 1 S. 2018 for the name of FO sections and Units	Considered
Field Office X	General	Data Privacy Act is not clearly stipulated in the guidelines	Considered
	Process Flow	Procurement is not discussed in the process flow	This is detailed in the business process.

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
Field Office VII	Page 8, Framework	Be consistent with the wordings on page 8 and page 10	Considered
		Does the output only lead to one possible outcome?	No. There is no arrow that denotes such.
	Page 9, Types of Researches	Where can we categorise video documentary?	Depends on the content of the documentary; all types of researches may be showcased in any medium
	Page 10, Types of Evaluations	Are PIRs/PREWs not considered as type of Evaluation?	Small e is covered in the HPMS
	Page 11, Research Standards	Is this to be followed by students? Are we going to reject those that do not conform to all standards?	To be clarified in the revised AO 19, S. 2011
	Page 14, Research Agenda	Will the draft agenda still be utilised? What will the FOs use in the absence of an existing R&E Agenda?	RF and existing regional topics
		For proposals by student researchers, should it conform with the Agenda? What actions will be taken if the proposed topics does not conform with the Agenda?	Not necessarily. For further discussion (studies in the Agenda will not be relied on students)
		To date, there are several "approved researches" endorsed by CO-OBS to FOs thru a memo that when validated by the PDPB Research Division did not pass thru the prescribed research approval process; how can this be addressed?	To be clarified in the revised AO 19, s. 2011
		How does the FO know if studies are part of social technology and thus does not require process? This is because FO research focal asks for approval of researches being conducted in the region.	If it follows AO 14, S. 2018
	Page 18, Conduct of Research and Evaluations	AO 19 s. 2011 should be amended in compliance with the EDB Act	Yes

Draft DSWD Research and Evaluation Policy

INVENTORY OF COMMENTS

As of 25 September 2018

OFFICE	AREA/SECTION	COMMENT/INPUT	ACTIONS TAKEN
	Page 19, C.2	This is an amendment to AO 19, S. 2011	Yes
	Page 20, Guiding Principles	Why is DSWD not composing an ethical board to give clearance to researches? The guidelines only outline ethical principles but does not specify who upholds these principles.	This is part of the review process as a function of the R&E TWG.