

Administrative Order No. 02
Series of 2021

**SUBJECT: THE DSWD REGULATORY STANDARDS DEVELOPMENT
FRAMEWORK AND PROCESS**

I. Rationale

The Department of Social Welfare and Development (DSWD) conducts registration and licensing of agencies and organizations engaged or planning to engage in social welfare and development (SWD) programs as well as accreditation of SWD programs and services of licensed social work agencies (SWAs) and service providers undertaking marriage counseling, court cases, and early childhood care and development (ECCD). It also regulates the solicitation of voluntary contributions in the Philippines at both the regional and national levels.

Regulation legitimizes the work of the groups mentioned above, recognizes them as sincere partners in nation-building, and protects beneficiaries from the proliferation of fly-by-night organizations. Additionally, it provides a clear set of principles, norms, and standards for the groups to follow.

To carry out the mandate mentioned above, the Standards Bureau (SB), being the regulatory arm of the Department, developed various standards. These standards are translated to SWD policies and guidelines to implement and operationalize the Department's regulatory services and at the same time steer actions in dispensing the Department's mandate.

The DSWD Administrative Order (AO) No. 02 s. 2010 established a framework for social welfare standards development. The framework proved useful after its implementation. However, given the innovations in the development of regulatory standards, the Bureau thought of revising it to incorporate new methods and techniques. Doing so will strengthen the regulatory functions of the Department. Furthermore, improving the framework will make it more comprehensible, practical, and credible – essential factors in developing and enhancing standards development policies.

The proposed enhancement shall pave the way for in-depth research, thorough study, and viable input analysis before the issuance and implementation of new regulatory standards and policies. It shall be the SB's basis in creating the Standards for programs and services under its jurisdiction in accordance with the Bureau's functions provided under Page 25 of AO No. 01 series of 2019.



ii. Legal Bases

This Issuance is based on the following laws:

1. Book IV, Title XVI, Chapter 4, Section 10 of Executive Order (EO) No. 292 series of 1987 (Administrative Code of the Philippines);
2. Section 3 of EO No. 221 series of 2003 (Amending EO No. 15 series of 1998, entitled redirecting the Functions and Operations of the Department of Social Welfare and Development);
3. DSWD AO No. 03 series of 2014 (Guidelines and Protocols for DSWD Issuances); and
4. Page 25 of DSWD AO No. 01 series of 2019 (Management Reorganization of the DSWD Central Office).

iii. Objectives

In accordance with the Bureau's functions provided under Page 25 of DSWD AO No. 01 series of 2019, this Issuance aims to achieve the following:

1. Rationalize and provide a clear process on setting standards and developing/enhancing policy issuances;
2. Streamline processes and mechanisms in developing policies/guidelines on standards-setting;
3. Improve policy/standards development and enhancement procedures, taking into account existing policies, challenges, new trends, concepts, and theories;
4. Develop a process that is both resilient and appropriate for meeting future challenges;
5. Install new mechanisms, protocols, and strategies in developing/enhancing policy issuances in standards-setting;
6. Provide interoperability between existing laws, policies, processes, and services; and
7. Define the timeline in the development of standards/guidelines/tools.



IV. Coverage & Scope

This administrative issuance specifically covers the policies, procedures, principles, values and strategies to be adopted in the development of guidelines and standards along the Department's regulatory services.

V. Definition of Terms

1. **Bureau** – refers to the Standards Bureau.
2. **Department** – refers to the Department of Social Welfare and Development.
3. **Digital Platforms** – refer to electronic tools for communication which include desktop, mobile, social, email software, websites, and social media applications.
4. **Social Welfare and Development Agency (SWDA)** – refers to a non-stock, non-profit corporation, organization or association, implementing or intending to implement either directly or indirectly social welfare and development programs and services in the Philippines, and assessed as having the capacity to operate administratively, technically and financially. Its clients may include but not limited to the poor, disadvantaged, and vulnerable individuals, groups, families and communities.
5. **Stakeholders** – refer to persons, groups, organizations, or other entities, who have particular interest or concern on an issue, and whose support is required for the successful implementation of the process.
6. **Standards** – refer to benchmarks that are created to enforce the provision of legislation. They are a published document that contains technical specifications, indicators, criteria and/or outcomes designed to measure the quality of services provided to intended users.
7. **Standards Development Framework** – refers to a set of principles, values, strategies, and processes undertaken in developing standards for social welfare services that will protect the best interest of its beneficiaries and/or clients. It provides the overall direction in the formulation and issuance of guidelines on standards development of the Bureau.
8. **Standards Development Process** – is a series of activity, procedure, and step that will guide any call to craft, develop, enhance, or revise standards, including its governing policies and guidelines. It shall be rooted in consensus, due process, and openness.



VI. Principles in Standards Development

Principles are essential in guiding the development, endorsement, approval, implementation, and review of policy documents concerning the Department's regulatory function. They are consistent with best practices and align with the DSWD's mandate. When consistently incorporated, they will bring about the desired regulatory standard and/or policy.

The following are the principles mentioned above:

1. *Openness and Participation*

Participation in the development of the Standards is open to all stakeholders. The development and review of policies are built on a commitment to public engagement, cooperation, and reciprocity.

2. *Responsiveness*

The content of the policies and standards adheres to rules and laws when applied to a given situation while considering what is practical and reasonable in upholding the interest of the general public.

3. *Effectiveness and Relevance*

The Standards must be relevant to the needs of all stakeholders. It shall demonstrate an efficient feedback mechanism and must be based on accepted or evidence-based practice.

4. *Transparency*

Information, enhancement, revision, and approval relative to the Standards, shall be accessible to stakeholders through available platforms including, but not limited to, activities, online sites, and public archives.

5. *Transition to operations*

Resources for initial implementation and the transition plan are part of the considerations and decisions made before starting development activities concerning the crafted policy and/or standard.

VII. The Standards Development Framework

The Standards Development Framework shall adhere to the principles mentioned above to ensure that the Standards are responsive and reasonable – enabling both providers and service users to benefit from excellent service.



The Framework shall support the structure and system in developing the Standards and its process design to ensure that each component and element is appropriately and efficiently carried out.

1. **Input** – refers to the set of information/data captured from the environment, which shall be subjected to validation and/or analysis to support any further policy assessment/analysis initiatives. Inputs may be existing data, legislation, an emerging issue, or a policy gap on the implementation of the DSWD's regulatory services.

2. **Process** – also called **throughput**, refers to the Standards Development Process. The process shall take into account the protocols concerning the cycle of its development as provided by the DSWD AO No. 3 series of 2014 and other documents of the same content. The whole process of standards development is oriented towards ensuring that the individual components ascribed in the proposed policy are well-synchronized to uphold its **efficiency** – the ability to avoid wastage of resources, efforts, and time in producing the desired result of the policy.

3. **Output** – refers to the approved policy or guidelines issued in the form of a Department Memorandum Circular (MC) or AO. It is geared towards strengthening the Department's regulatory services. The resulting guidelines are deemed to have **efficacy** – the capacity of the policy to induce beneficial change.

4. **Implementation** – also called **utilization**, refers to the use of the Standards. It is the element of the framework that brings the Standards into actual observance by the organization and its stakeholders, or the set of actions to be undertaken to solve the identified problem that engendered the need for a new policy. The success of policy implementation is measured according to its **effectiveness** – the result of realizing its intended or expected outcome.

5. **Outcome** – refers to the end result of the initiatives and processes undertaken to ensure the realization of the set goal. It is expected that the regulatory policy and/or standards conceived and carried out by the DSWD shall lead to the continuing compliance of social welfare and development (SWD) agencies to standards in the delivery of social welfare services.

6. **Feedback** – constitutes a loop in which causal reversal sequences are also possible. For example, the output or resulting outcomes of the output can provide the lead input for succeeding actions. By streamlining a dynamic feedback mechanism, the findings made during the policy review or monitoring/evaluation can better support policy change. Instead of a linear path, a circular loop is incorporated in the framework, emphasizing the organic and empirical nature of standards development.

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The interplay between these elements is illustrated in **Figure 1**, as shown below.

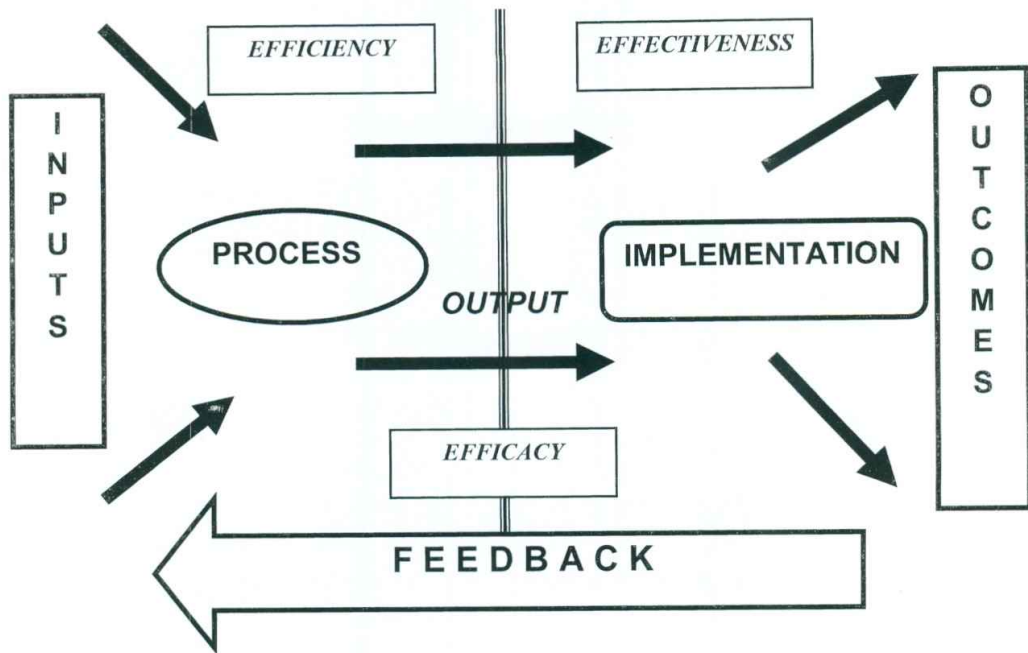


Figure 1. The Standards Development Framework

VIII. The Standards Development Process

The Standards Development Process shall streamline the procedure under AO No. 03 series of 2014, which provides for the guidelines and protocol on DSWD issuances. Then, the Cluster Head shall approve it before submission and presentation to the Management Committee.

The Process involves a cyclical procedure, which must be completed to warrant the quality of the policies and tools being developed, enhanced, and/or revised. The procedure shall lay the foundation of the Process.

The procedure mentioned above is illustrated in **Figure 2**.

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Figure 2. The Standards Development Process

a. Identifying Need

New policy issues or ideas and gaps in the implementation of existing guidelines, tools, and policies may arise at any level within the regulatory structure and may be influenced by one or more of the following:

Government direction: The government of the Republic of the Philippines may identify requirements that are specific to social welfare standards and policies or to a particular program of the DSWD that relate to SB's conduct of its regulatory role.

Laws: Compliance with laws is a crucial component of standards and policy development for the regulatory function of DSWD.

Public perception and changes in the policy context: The pulse of the social welfare community and general public perception of various issues and concerns may influence the actions of the DSWD SB. These are sensitized during regulatory activities, public consultations, and the like. In many instances, policies for a specific concern may not be mandated; however, the sensitivity and/or severity with which the public perceives these concerns may warrant action.

b. Inclusion of Emerging Trends

Best practices adopted by practitioners in delivering programs and services under the SB's jurisdiction in accordance with its functions provided under Page 25 of AO No. 01 series of 2019 shall be considered in developing the Standards.

c. Validation/Verification of Input

This includes the conduct of validation studies through either research, immersion, interview, and other activities, either through usual or digital platforms, if applicable, to determine the necessity and level of action to be taken based on the validity of the information/data gathered/submitted. This will establish the management decision as to whether SB should proceed with policy development/enhancement or not.

d. Policy Review

This includes a review of existing policies, laws, and issuances, which are significant and relevant to the issue, problem, or statute affecting the current implementation or execution of the Department's regulatory function. Strategies and activities to be undertaken during review include the conduct of brainstorming, focused-group discussion, technical sessions, gap assessment and consultations, and among others either thru usual or digital platforms, whichever is deemed applicable and necessary.

e. Policy Analysis

This consists of various strategies and activities that help establish and identify the underlying policy problem or gaps to be dealt with, as well as the examination and evaluation of the available options to implement the specific objectives formulated in confronting the identified problem. It will also take into account the factors affecting the issue (e.g., environment, stakeholders, legislation, management, etc.) that would likely influence the final decision and outcome of the policy formulation.

f. Policy Formulation and Approval

This includes the drafting of policies and tools that are in accordance with AO No. 03 series of 2014 (Guidelines and Protocols for DSWD Issuances).

g. Implementation

This includes the pilot-testing of the tools developed, activities, initiatives, and advocacies towards the dissemination of the salient features of the Standards to ensure its effective implementation. The cascading of information to the Field Offices shall be conducted through various mechanisms and strategies that

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include training/seminars with the use of, but not limited to, digital platforms and publication.

h. Monitoring and Evaluation

The Bureau shall be responsible for monitoring the implementation of the Standards six (6) months after their enforcement.

Operational and policy gaps/issues/problems identified during the monitoring visit shall be submitted using **Form B**.

IX. Institutional Arrangements

1. The **DSWD Standards Bureau**, in accordance with its functions provided under Page 25 of DSWD AO 01 series of 2019, shall:

- a. Take the lead in the Standards Development Framework and Process;
- b. Conduct the necessary activities on Standards Development Framework and Process;
- c. Coordinate activities/initiatives on Standards Development Framework and Process to concerned Offices/Bureaus/Services/Units or agency/ies;
- d. Review and revisit the Framework and Process as deemed necessary;
- e. Provide technical assistance in implementing the Standards Development Framework and Process; and
- f. Provide the needed support/resources geared towards improving the Standards Development Framework and Process.

2. The **DSWD Policy Development and Planning Bureau** shall ensure that the Standards do not contradict any existing policies or strategic priorities of the Department.

3. The **DSWD Legal Service** as provided under AO No. 03 series of 2014 shall:

- a. Determine if the contemplated policy issuance would have to be published in a newspaper of general circulation and/or with the University of the Philippines Law Center, and if so, make such filing; and
- b. Post a copy of the AO or MC on the Official Gazette.

4. The **DSWD Field Office and other Offices/Bureaus/Service/Units** shall:



- a. Actively participate in the conduct of different activities concerning the Standards Development Framework and Process;
- b. Initiate commencement of the development process by providing substantial input; and
- c. Provide input for the improvement of the Standards Development Framework and Process.

X. Repealing Clause

All previous issuances contrary to or inconsistent with this Issuance are hereby repealed, modified or amended accordingly.

XI. Separability Clause

If any provision of this Issuance is held invalid, all the other provisions not affected thereby shall remain valid.

XII. Effectivity Clause

This Issuance shall take effect immediately.

Done in Quezon City, this 16th day of April, in the year of our Lord, two thousand twenty-one.


ROLANDO JOSELITO D. BAUTISTA
Secretary

- Annex A – Standards Development Service Process
- Annex B – Standards Development Process Flow Summary
- Annex C – Form A
- Annex D – Form B
- Annex E – Form C
- Annex F – Action Plan
- Annex G – Policy Brief
- Annex H – History Log
- Annex I – Policy Issue Log
- Annex J – Concept Paper

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CHELOVA CLARRISSE ALBORNOZ-BARRACA
Administrative Officer III
Records & Archives Mgt. Division

ANNEX A: SWD PROCESS

THE STANDARDS DEVELOPMENT PROCESS

1. Identifying Need

Procedure	Action to be taken	Timetable	Output
I. Observation and/or data gathering process	<ul style="list-style-type: none"> Observe and take note of feedback from stakeholders that may have an impact on existing guidelines or policies. 	Within the duration of an R/L/A visit or any activity providing opportunity to revisit existing guidelines or policies.	Field Notes or Accomplished Assessment Tool during visits, whichever is applicable

2. Inclusion of Emerging Trends

Procedure	Action to be taken	Timetable	Output
II. Observation and/or data gathering process	<ul style="list-style-type: none"> Observe and take note of best practices adopted by practitioners in the social services industry that may have an impact on existing guidelines or policies. 	Within the duration of an R/L/A visit or any activity providing opportunity to revisit existing guidelines or policies.	Field Notes or Accomplished Assessment Tool during visits, whichever is applicable

3. Validation/Verification of Input/s

2.1. For input/s using Forms A, B, and C (Refer to Annexes C, D, and E) (proposed based on experience, monitoring results, and/or observations specific to policy provisions)

Procedure	Action to be taken	Timetable	Output
III. Submission of input/s using the recommended template	<ul style="list-style-type: none"> Acknowledge receipt of input/s provided. 	Within three (3) working days upon receipt of input.	Acknowledgement (i.e. formal or informal)
IV. Validation and verification of input/s	<ul style="list-style-type: none"> Validate the input/s by gathering substantial information/data relative to the input/s provided through the following modes: 	Within fifteen (15) working days.	Report the input as either of the following: a. Input is a valid concern, cite the data/information

ANNEX A: SWD PROCESS

	<ul style="list-style-type: none"> ▪ Research study; or ▪ Field visit/s or teleconferencing, whichever is applicable 		<p>which makes the concern valid.</p> <p>b. Input is an invalid concern, likewise, cite the reason.</p> <p>Recommend actions to be undertaken relative to the data gathered.</p>
V. Recommendation for Action	<p>Take action after receipt of staff recommendation by the management and the latter's endorsement of the recommendation:</p> <p>a. If endorsed for further validation or review, conduct the necessary action to proceed to policy review.</p> <p>b. If not endorsed for any further action/ review, prepare feedback to the originating party.</p>	Take action within five (5) working days upon receipt of instruction.	<ul style="list-style-type: none"> • Action Plan** • Feedback <p>Note:</p> <ul style="list-style-type: none"> • In drafting the action plan, one may use the attached templates for reference (See Annex F).

2.2. Instructional Inputs (proposed based on directives/strategic priorities)

Procedure	Actions to be Taken	Timetable	Output
I. Action Planning	<ul style="list-style-type: none"> • Act on the instruction based on the following circumstance/s: a. If recommended for further validation/ review, conduct necessary action to proceed to policy review. b. If recommended for 	Take action within five (5) working days upon receipt of instruction.	<ul style="list-style-type: none"> • Action Plan** <p>Note:</p> <ul style="list-style-type: none"> • In drafting the action plan, one may use the attached templates for reference (See Annex F).

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	immediate policy revision or enhancement, proceed immediately to policy analysis stage.		
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2.3 New Legal Bases (proposed based on new legal provisions)

Procedure	Actions to be Taken	Timetable	Output
I. Preparation of policy brief	<ul style="list-style-type: none"> Gather needed information relevant to the policy/guidelines. Prepare policy brief. <p>Note: These inputs are not subjected to policy review and policy analysis.</p>	Drafting should be done within ten (10) working days.	<ul style="list-style-type: none"> Policy Brief Action Plan <p>Note:</p> <ul style="list-style-type: none"> In drafting the policy brief and action plan, one may use the attached template for reference (See Annexes F and G, respectively).

4. Policy Review

Procedure	Actions to be Taken	Timetable	Output
I. Identification of policy issue and scope	<ul style="list-style-type: none"> Conduct history review of the policy, to include the number of revisions and their corresponding year of approval. Take note the issues and legislative change that were addressed in each revision. Identify and log the issues that triggered the process, which may include policy gaps, legislative changes, or policy trends. 	Within specified timeframe as indicated in the action plan.	<ul style="list-style-type: none"> History Log (See Annex H) Policy Issue Log (See Annex I) – i.e. record specific issues that have emerged along the implementation of the policy.

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	<ul style="list-style-type: none"> Identify the scope or coverage of the review to include the stakeholders that may be affected, as well as other areas to be considered. 		
II. Research	<ul style="list-style-type: none"> Conduct literature review and/or data analysis on the issues and triggers presented. Review existing policies, legislation, and/or best practices. If necessary, conduct interview or group discussions (<i>may use digital platforms, if applicable</i>) to groups that may be affected by policy change, to widen perspectives and gather more data relative to the issues/triggers presented. 	Within specified timeframe as indicated in the action plan.	<ul style="list-style-type: none"> Research or Study Report, to include matrix of the relevant information and data gathered from the different sources. <p>Note: The implication of policy review should be determined with consideration to its impact to other policies, stakeholders, administration and systems development.</p>

5. Policy Analysis

Procedure	Actions to be Taken	Timetable	Output
I. Establishing the context	<ul style="list-style-type: none"> Identify the policy problem or underlying issue that must be dealt with based on the policy review conducted Identify factors in the environment that affects the issue or problem. Identify specific objectives in addressing the policy issue. 	Within specified timeframe as indicated in the action plan.	<ul style="list-style-type: none"> Problem Analysis Policy Objectives
II. Drawing the	<ul style="list-style-type: none"> Identify the players or 	Within specified	<ul style="list-style-type: none"> Stakeholder

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players and stakeholders	<p>stakeholders who have a particular interest in the issue.</p> <ul style="list-style-type: none"> Assess their position over the issue by conducting consultations and/or focused group discussions. 	timeframe as indicated in the action plan.	analysis and/or documentations
III. Laying Out Alternatives and Predicting its Consequences	<ul style="list-style-type: none"> Identify possible options and alternatives and their corresponding consequences in order to effectively address the issue, it may range from the following options: <ol style="list-style-type: none"> Addressing the policy issue by revising the whole policy; Addressing the policy issue by revising only some parts of the policy; or Addressing the policy issue by resolving a specific concern. 	Within specified timeframe as indicated in the action plan.	<ul style="list-style-type: none"> List of alternatives and consequences.
IV. Conceptualization	<ul style="list-style-type: none"> Prepare and draft the concept paper based on the result of the review, research and analysis conducted. 	Within specified timeframe as indicated in the action plan.	<ul style="list-style-type: none"> Concept Paper (See Annex J)

6. Policy Formulation and Approval

Procedure	Actions to be Taken	Timetable	Output
I. Initial drafting	<ul style="list-style-type: none"> Prepare initial draft of the policy document using the prescribed template as provided in AO 03 s. 2014. 	Within specified timeframe as indicated in the concept paper.	<ul style="list-style-type: none"> Initial draft of the policy

ANNEX A: SWD PROCESS

<p>II. Approval and consultation within Standards Bureau <i>(may use digital platforms as well)</i></p>	<ul style="list-style-type: none"> • Consult the policy document with the Bureau's Technical Working Group (TWG) or stakeholders. • Provide the TWG/ stakeholder with the actions taken based on their provided inputs/comments. • Submit draft for comment/approval of Standards Bureau Director (maximum of two revisions) 	<ul style="list-style-type: none"> • Within specified timeframe as indicated in the concept paper. • Within five (5) working days upon receipt. 	<ul style="list-style-type: none"> • Enhanced initial policy draft • Minutes/ proceedings. • Consolidated comments/inputs and actions taken.
<p>III. Submission of initial draft to the Cluster Head</p>	<ul style="list-style-type: none"> • Transmit the initial draft to Cluster Head for comment/input and/or approval. 	<p>Within five (5) working days upon receipt.</p>	<ul style="list-style-type: none"> • Comments/Inputs of Cluster Head
<p>A</p>	<p>If approved,</p> <p>Endorse proposed policy to the Chairperson of the DSWD Management Committee (MANCOM)</p>		<p>Approved Draft.</p>
<p>B</p>	<p>If needing further enhancement or revision,</p> <ul style="list-style-type: none"> • Revise/Enhance draft as per input of the Cluster Head. • Submit enhanced draft to the Cluster Head for approval. • Endorse proposed policy to the Chairperson of the DSWD Management Committee (MANCOM) 	<p>Within three (3) working days upon receipt.</p>	<ul style="list-style-type: none"> • 2nd Draft/Enhanced Draft
<p>IV. Procedures</p>	<ul style="list-style-type: none"> • Revise draft or take 	<p>To be included in the</p>	<ul style="list-style-type: none"> • Revised draft, if

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<p>within the MANCOM</p>	<p>action based on the comments/inputs of the OBSUs, if needed.</p> <ul style="list-style-type: none"> • Present proposed policy to the MANCOM. 	<p>agenda for the next MANCOM meeting, which shall be held within the next fifteen (15) days.</p> <p>Hence, action/revision of the proponent Bureau should be done within five (5) working days upon receipt of the inputs/comments.</p>	<p>necessary.</p> <ul style="list-style-type: none"> • PowerPoint presentation of the proposed policy issuance.
<p>A</p>	<p>If approved,</p> <ul style="list-style-type: none"> • The MANCOM Chairperson shall endorse proposed policy to the Secretariat of the DSWD Executive Committee (EXECOM) 		<ul style="list-style-type: none"> • Approved draft.
<p>B</p>	<p>If needing further enhancement/revision,</p> <ul style="list-style-type: none"> • Revise/Enhance draft as per input of the MANCOM. 	<p>Within ten (10) working days upon receipt.</p>	<ul style="list-style-type: none"> • 3rd draft/Enhanced Draft
	<ul style="list-style-type: none"> • Submit enhanced draft to the MANCOM Chairperson for approval. 		
	<ul style="list-style-type: none"> • MANCOM Chairperson shall endorse proposed policy to the Secretariat of the DSWD Executive Committee (EXECOM) 		
<p>V. Procedures within the EXECOM</p>	<ul style="list-style-type: none"> • Follow up schedule of presentation to the EXECOM and/or 		

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	approval of proposed policy with the Secretariat.		
A	<p>If approved,</p> <ul style="list-style-type: none"> Finalize policy document for approval of the Secretary. 		<ul style="list-style-type: none"> Final Draft.
B	<p>If for further enhancement/revision,</p> <ul style="list-style-type: none"> Revise draft or take action based on the comments/inputs of the OBSUs, if needed. 		<ul style="list-style-type: none"> Revised draft, if necessary.
	<ul style="list-style-type: none"> Submit finalized policy issuance for approval of the Secretary. 		<ul style="list-style-type: none"> Final Draft
VI. Approval of the Draft	<ul style="list-style-type: none"> Issue the draft and provide copies of approved policy document to concerned stakeholder. 		<ul style="list-style-type: none"> Approved Policy Issuance/ Document

7. Implementation

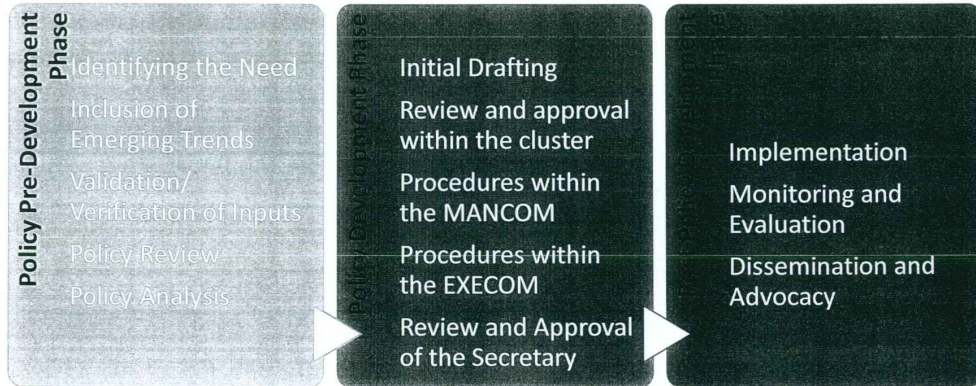
Procedure	Actions to be Taken	Timetable	Output
I. Publication and information dissemination	<ul style="list-style-type: none"> Facilitate needed action to formally disseminate/circulate the newly approved guideline to the public, if needed. Draft implementation plan. 	Within ten (10) working days upon publication/posting.	<ul style="list-style-type: none"> Communication letters; or Activity proposals; or Information dissemination and implementation plan.
II. Implement and enforce approved policy/guideline.	<ul style="list-style-type: none"> Coordinate with concerned offices re: effectivity of approved policy. Execute implementation plan. 		<ul style="list-style-type: none"> Documentations/ Reports. Communication Letters

ANNEX A: SWD PROCESS

8. Monitoring and Evaluation

Procedure	Actions to be Taken	Timetable	Output
I. Planning	<ul style="list-style-type: none"> • Prepare and draft a monitoring plan. 	Within ten (10) working days after completing the implementation plan phase.	<ul style="list-style-type: none"> • Monitoring Plan** <p>**The plan should include the timeline, indicators and expected outcome based on the implementation plan.</p>
II. Monitoring and technical Assistance	<ul style="list-style-type: none"> • Execute or conduct monitoring based on the plan. • Provide technical assistance pertaining to policy procedures and provisions, if necessary. 	Within specified timeline as indicated in the monitoring plan.	<ul style="list-style-type: none"> • Documentations • Reports
III. Evaluation	<ul style="list-style-type: none"> • Evaluate and review the implementation and effectivity of the policy based on observations/reports submitted. 		<ul style="list-style-type: none"> • Policy review and evaluation report.

ANNEX B: Standards Development Process Flow Summary



Annex C: Form A

Inputs based on experience during accreditation/assessment activity

Date of Accreditation/Assessment	Policy Concern (specify the policy provision and concern)	Recommended Policy Action

Accomplished by:

Date: _____

Noted by:

(Supervisor)

Annex D: Form B

Inputs based on monitoring visit

Date of Monitoring Visit	Purpose of Monitoring	Policy Concern (specify the policy provision and concern)	Recommended Policy Action

Accomplished by:

Date: _____

Noted by:

(Supervisor)

Annex E: Form C

Inputs based on other observations

Date of Activity/Occurrence	Specific Observation	Policy Concern (specify the policy provision and concern)	Recommended Policy Action

Accomplished by:

Date: _____

Noted by:

(Supervisor)

Annex F: Action Plan

Recommendation/ Instruction/ Initiatives	Action/s to be Undertaken	Resources Needed	Timeline	Stakeholder (Areas for Collaboration)	Output

Prepared by:

Reviewed by:

Immediate Supervisor

Approved by:

Head of Office

Annex G: Policy Brief Suggested Template

I. Title

It should be short, keep it to less than 12 words. Include relevant key words. You may consider using a question as a title. It should be relevant to the topic.

II. Summary

This may contain three or four bullets giving the main points in the policy brief, try to answer the question, "What are the main points you want policy makers to get – even if they read nothing else?"

III. Recommendation

- State the recommendations clearly and in a way that is easy to understand.
- Keep them short.
- Make them realistic.

IV. Introduction

- State the problem. (What is the problem? Why is it important?)
- Context of the problem. (What happens, where, who is involved)
- Causes of Current situation (Why? Give examples)
- Effects of Current Situation (What effects does it have?)

V. The Body

Make sure you structure the text in a logical manner, i.e Problem-effects-causes-solution. Use more heading.

VI. Policy Implications

Focuses on the policy options and implications. Some items to consider including:

- Suggested revisions in policy. (What are the various options?)
- Effects of the revised policy/policies. (How will the policy improve or change the situation?)
- Advantages and disadvantages of each policy option. ¹

¹ <http://www.fao.org/3/i2195e/i2195e03.pdf>

Annex H: History Log

Regulatory Guidelines Document: _____

Versions (Specific MC/AO; Author)	Original Provisions	Amended/Revised Provisions	Reason/s of the amendment/ revisions	Remarks

Prepared by:

Policy Writer

Annex I: Policy Issue Log

Regulatory Guidelines Document: _____

Triggers	Policy Issues/Gaps	Recommended amendment/revisions	Input/s (action to be taken by the Bureau)	Remarks

Prepared by:

Policy Writer

Annex J: Recommended Template for Concept Paper

Title (title of the guideline being revised/amended)

I. **Overview/Introduction**

Briefly provide a general rundown of the subject to include but not limit to the problem/concerns being addressed and proposed actions to be undertaken relative to the concern.

II. **Background/Triggers**

In bullets, present the background/triggers which prompted the need to amend/revise the guideline.

III. **Legal Basis/Bases**

Enumerate the legal documents that will support or reinforces the authority to revise/amend the guideline.

IV. **Objective/s**

In bullets, enumerate/specify the purpose/intentions for the amendment/revision of guideline.

V. **Activity Description**

Describes and identify the process/activities, timeline, resources and other details which shall be undertaken geared towards achieving the goal/approval of the policy/guideline.

VI. **Areas for Collaboration among Stakeholders**

Identify/specify needed action and support from intermediaries involved along the development of the guideline.