



MEMORANDUM

TO : **ALL PCIEERD PERSONNEL**

FROM : *Enrico C. Paringit*
DR. ENRICO C. PARINGIT
Executive Director

SUBJECT : **PCIEERD Policy Framework**

DATE : **03 July 2019**

For everybody's guidance, a standard policy framework is hereby implemented in formulating policies, guidelines and rules concerning PCIEERD's internal and external operations.

The framework shall apply to all personnel involved in the development, formulation and documentation of the Council's policies and to all such documents which affect PCIEERD operation in accordance to its mandated functions and services.

The Policy Framework, consisting of eleven (11) pages including its appendices and references, shall be used and shall take effect immediately fifteen (15) days from the date of filing with the University of the Philippines Law Center and supersedes all other issuances inconsistent herewith.

In view hereof and hereafter, the Records Officer is requested to file three (3) certified copies of every adopted rule, policy and memoranda or statements concerning the internal administration or management of PCIEERD.

For strict compliance.

Philippine Council for Industry, Energy and Emerging
Technology Research and Development



I-19-0712-35

Received on: 07.12.19 / 2:03:38 PM

PCIEERD POLICY FRAMEWORK

Rationale

By virtue of the Executive Order No. 128 entitled "Reorganizing the National Science and Technology Authority" specifically section 13, the Philippine Council for Industry, Energy and Emerging Technology Research and Development (PCIEERD) is one of the sectoral planning councils of the Department of Science and Technology (DOST).¹ Following the Department of Budget and Management's (DBM) approval of its rationalization plan issued on June 29, 2010 in accordance to the provisions of Executive Order No. 366,² PCIEERD is mandated to serve as the central agency in the formulation of policies, plans, and programs as well as in the implementation of strategies in the industry, energy, and emerging technology sectors through the following S&T programs:

- Support for Research and Development
- Human Resource and Institution Development
- S&T Information Dissemination and Promotion
- Support for Technology Transfer and Commercialization
- Policy Development and Advocacy

As a government agency and one of DOST's sectoral planning councils, its plans and programs are anchored on the vision of the Harmonized National R&D Agenda (HNRDA). The HNRDA provides the policy framework and directions for science and technology in the Philippines.³

Through the years, the PCIEERD has introduced different policies and strategies to realize its optimum performance and to ensure that its programs and activities are responsive to the demand of its stakeholders. The outputs of the different sectoral strategic planning workshops generating specific policy directions have paved a way to the attainment of its objectives based on the targeted areas and activities. However, clearer and focused policies with significant national impact calls for the creation of a standard policy framework to align its mandate of formulating relevant policies in its delineated sectors.

The policy framework will provide for an effective policy development guide or process at which PCIEERD-formulated policies adhere in the attainment and realization of the Council's goals and objectives, that is to lead and partner with the public and private institutions in generating S&T policies, strategies and technologies that will contribute significantly to national economic development. On that account, strengthened policies, programs and activities in the science and technology sector will spur productivity and innovation.

Scope

The Framework applies to all personnel involved in the development of the Council's policy documentation and to all such documents which affect its operation in accordance to its mandated functions and services as may deem applicable. Any addition to or potential exemptions from the Framework will be considered as appropriate by the PCIEERD Management Team (PMT) or by the Governing Council (GC).

¹ Exec. Order No. 128. S. 1987.

² Executive Order No. 366

³ Harmonized National R&D Agenda 2017-2022

1. Introduction

This Policy Framework provides guidance for the Council's policy development process, including approval, implementation, publication, and review and is overseen by the Policy Coordination and Monitoring Division (PCMD). The Framework aims to ensure that the Council has consistent, relevant and up-to-date policy documentation.

1.1 The Framework consists of the following contents:

- Definitions
- Roles and Responsibilities
- Policy Development Guide and Template
- Policy Approval
- Implementation and Communication
- Storage
- Review Process
- Compliance

2. Definition of Terms

- a. Policy – A set of basic principles and associated guidelines, formulated and enforced by the governing body of an organization, to direct and bound its actions in pursuit of long-term goal.⁴ Policies are approved by the Executive Director and confirmed by the Governing Council (GC). Policies in PCIEERD consist of:
 1. Internal policy – could be in a form of a guideline, principle, or strategy and all other issuances consistent with existing laws and regulations, designed to deal with or address issues concerning the internal administration or management of PCIEERD e.g., staffing policies and procedures, workplace safety, motorpool and equipment usage among others.
 2. External policy - pertains to a system of procedure or guideline, principles and protocols consistent with existing laws and regulations affecting the external operation of PCIEERD with its clients, partners and to the public in general e.g., DOST-Grant-In-Aid guidelines, Balik Scientist Program, Young Innovators Program, Impact Assessment Guidelines, and Guidelines for Private Organizations among others.
- b. Guideline - A piece of information that suggests how something should be done. This could be in a form of rules affecting monitoring and evaluation of projects, human resources management, property management and other internal and external operation of an Agency⁵.
- c. Procedure - Steps and actions that must be taken to ensure consistency of practice, often in support of a policy or regulations.⁶ Generally approved by the Executive Director or by the Governing Council.

⁴ Merriam-Webster.com, 2019

⁵ Ibid

⁶ Ibid

- d. Policy Framework - Set of principles and long-term goals that form the basis of making rules and guidelines. It also provides overall direction to planning and development of the organization⁷.
- e. Policy Development – An activity involving research, analysis, consultation and synthesis of information to produce recommendations.⁸
- f. Policy Brief – A Policy document produced to support an advocacy campaign with the intention to engage and persuade informed, non-specialist audiences⁹. It also refers to Policy paper relating to or as an output of supported/monitored projects of PCIEERD.
- g. Equality Impact Assessment - is a process designed to ensure that a policy, project or scheme does not discriminate against any disadvantaged or vulnerable people. It ensures that policies, services and legislation do not discriminate against anyone and that, where possible, promote equality of opportunity¹⁰.

3. Roles and responsibilities

- 3.1 The Executive Director, the PCIEERD Management Team (PMT), and the Governing Council (GC) shall be responsible for identifying specific policy development needs of the Council.
- 3.2 The PCMD and the Technical Working Group for Policy shall be responsible for drafting the specific policy upon recommendation of the Executive Director, the PMT or by the GC in accordance with the Framework.
- 3.3 The PCMD will communicate information to all personnel on all matters related to policies based on the Framework and publish on its web pages, together with links to all information systems. The same shall be disseminated to the affected stakeholders through a general assembly and press release.

4. Policy Development Guide and Template

- 4.1 Every policy must be signed by the head of the agency and have been properly recorded prior to dissemination and implementation. Each division of the Council can recommend policies to be developed based on their respective concerns subject to the approval of the PMT.
- 4.2. The S&T Policy Information System(S&TPIS) shall serve as a repository of all policies issued by the Council concerning its general operation and shall be maintained by the PCMD. The system will serve as a source of information on different policies and guidelines affecting the general operation of the Council

⁷ Policy Framework Guide, University of Huddersfield. (2018)

⁸ A Policy Development Guide, Office of the Auditor General. (2003)

⁹ Writing Policy Brief, Food and Agriculture Organization. (2018)

¹⁰ <https://www.gov.uk/government/publications/equality-impact-assessments-2010>

- 4.3 A template is available at Appendix A and B to assist personnel with policy development. The template can also be used for procedures, codes of practice and guidance.
- 4.4 Generally, a policy should include:
- The Council's name and logo in the header of the first page
 - Page number, page x of y, at the bottom of the page
 - Policy title and introduction to include the purpose of the policy, the aims and objectives and its scope.
 - Main body of the policy, with all sections and paragraphs numbered.
- 4.5 The policies shall be written in a clear, concise and readable format and recommends the following pointers:
- Use active rather than passive verb and avoid jargon
 - Avoid using information that may quickly become out of date (for example, use job titles rather than names)
 - If acronyms are used, the full name should be used in the first instance with the acronym in brackets
 - Formatting should be consistent with the template, i.e. Arial font size 12, to conform to the Council's document format.
 - References to existing and related laws, rules or regulations where applicable as basis

5. Policy Approval

- 5.1 Before a policy can be implemented it must go through an approval process. This generally includes the following four stages: consultation, equality impact assessment (where relevant), approval and implementation.

5.2 Consultation

Consultation with key stakeholders should be carried out before a draft policy is submitted for approval. A 15-days period is allocated for review and meaningful consideration. Stakeholders should also be consulted as part of the review process. Consultation with project managers, project leaders and relevant heads of government agencies is important for all policies to ensure awareness of any implications for their areas of responsibility.

- 5.3 Policy developers should also take cognisance of, and ensure compliance and consistent with, other government agency's policies, as appropriate.

5.4 Equality Impact Assessment (EIA)

When developing or reviewing key policies, it is important to ensure that it is fair, transparent, legal and consistently applied. It is also important to ensure that the proposed policy does not have an inadvertent negative impact on individuals by virtue of them being part of a protected group under the law (age, disability, gender

reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation). An Equality Impact Assessment (EIA) should be considered and carried out, if relevant, on all new policies, and where significant changes are made to existing policies, to anticipate possible barriers the policy could pose to particular people with these protected characteristics. If the policy disadvantages certain groups of people, the Council has a legal duty to mitigate, remove or reduce the negative impact.¹¹ EIAs are helpful in supporting the Council's compliance with the law (Republic Act No. 9710 or the Magna Carta of Women and other related laws); and they are a recognized tool in improving policy development in identifying potential steps to advance equality and foster good relations, and to ensure non-discrimination.

5.5 Approval

Policies must be endorsed by the PCIEERD Management Team (PMT), for approval by the Executive Director, and to be confirmed by the Governing Council (GC).

5.6 Procedures, guidelines, administrative orders and memoranda should be approved by the Executive Director.

5.7 Three (3) certified copies of the approved policy shall be filed by the PCIEERD Records section to the University of the Philippines Law Center in accordance with Book VII, Chapter 2 of the Executive Order No. 292 or the Administrative Code of the Philippines.¹² The same policy shall become effective fifteen (15) days from the date of the filing as provided for under section 4 of the same Chapter.

6. Implementation and Communication

6.1 Upon approval of the policy, the PCMD is responsible for the effective communication to the relevant target stakeholders. Policies will generally be promoted through the S&T Policy Information System accessible via PCIEERD website and for new policy release through emails posted by the records section.

6.2 Where appropriate, the PCMD in coordination with the HR unit should conduct orientations and training sessions for the personnel to enhance understanding of, and adherence to the policy.

7. Storage

7.1 The S&T Policy Information System (S&TPIS) and the Tracking, Retrieval, Archiving of Communications for Efficiency (TRACE) the Council's web content management information systems are the primary location for all policy documents.¹³ The system also contains a copy of the policy template and other guidelines.

¹¹ Equality Impact Assessment, Wringington, et al., nhs.uk/Library/Equality_diversity/2017/equality_impact_ax_toolkit2017.pdf

¹² <https://www.officialgazette.gov.ph/1987/07/25/executive-order-no-292-book-viichapter-2-rules-and-regulations/>

¹³ <http://trace.pcieerd.dost.gov.ph/>

- 7.2 To improve the accessibility of Council's policy documents for personnel, proponents, project leaders and other interested parties, links to all institutional policies will be available at the Council's website www.pcieerd.dost.gov.ph.
- 7.3 The PCMD shall be responsible in ensuring that the latest version of the policies are uploaded to the system and the superseded version shall be retained in separate folder to track changes and for reference purposes. The title of the latest version shall contain reference to old version.
- 7.4 The PCMD or the policy owner/developer is responsible for informing the Management when a policy review shall be conducted, or a certain policy will be subjected to a review process to determine its relevance to the current practices and applicable laws and regulations.

8. Review Process

- 8.1 All existing policies shall be subject to a periodic review once every three (3) years after its date of effectivity, or as necessary, due to legislative or regulatory requirement or significant change that may require amendment or revision to the existing policy in the preparation and review of a policy.
- 8.2 The PCMD shall initiate the review through the Technical Working Group for Policy. Suggested revision/amendment shall be elevated to the PMT for approval.
- 8.3 A reviewed policy, which is subject to the relevant approval process, shall be uploaded to the information system and disseminated by the records section to the staff through mass electronic mail for review, comments or recommendations.

9. Compliance

- 9.1 The PCMD is responsible for ensuring compliance with the policy issued and for identifying and recommending appropriate measures and checks at the outset.

APPENDIX A – POLICY TEMPLATE

Policy Title :

Key points to follow when determining the title of an administrative policy:

- The title must identify the key purpose of the policy, in as few words as possible
- The title may include verbs to either show separation from another closely titled policy, or to indicate which portion of the topic will be covered by the policy

Purpose and Context :

- Brief description outlining why the policy has been created; e.g., a new law or regulation is passed of which the current policy should be consistent with, recent events and developments which makes the policy no longer relevant, and a response to changing working environment
- Specific details should not be included

Scope :

What and who the policy applies to – personnel, project leaders, stakeholders, partner organisations, project/program implementation, etc.

1.0 Introduction

An explanation of the steps that were taken to develop the policy

2.0 Definition of Terms

Enable the readers to have a common understanding of a word or subject. List unique terms that, by being defined, would add to the reader's understanding of the basic policy

- Define unfamiliar or technical terms
- Define terms with special meanings

3.0 Policy Statement

This is the most important section of the policy. It will provide specific direction for the intended audience

4.0 Effectivity

APPENDIX B - PCIEERD POLICY BRIEF DEVELOPMENT

Policy Brief Guidance and Template

Purpose of Policy Brief

Policy briefs are designed to support more informed evidence-based policy-making or decision-making within relevant agencies or organisations.

A policy brief explains an issue, its context, stakeholders, scope and impact; it explores any known causes, links or relationships involved in the issue; and it identifies the implications of these findings for the key actors or the target audience. While findings explored in the policy brief will be built upon strong scholarly roots, a policy brief is targeted for a professional, rather than academic audience, who have limited time to consider background material before having to make practical decisions (Quinn, L. 2017).

OUTLINE OF POLICY ISSUE PAPER (based on secondary data/document)

1. Background of the problem

a. Description of the problem situation

- This part of the policy brief is focused on the problem. The aim in this section is to present the most striking facts or elements of the analysis in order to convince the audiences that they may need to rethink the issue and ultimately, may need to change the current policy approach.

b. Scope and severity of the problem

- Analyze the problem from different perspectives (understand the environment in which the problem is occurring, understand stakeholder/client perspectives, etc.). Doing so enables policy analyst to get a handle on its multi-dimensional nature.

c. Prior efforts/policies to solve the problem

- Policies that have not worked well in other jurisdictions/similar contexts may be repeated unknowingly.
- It is especially important to find out how solutions to the problem have worked or have not worked elsewhere.

d. Outcomes/assessment of past policy performance

- Outcome is a significant consequence attributed to the outputs of a policy, program or initiative. Develop the core issues or striking facts that have led to current policy failures.
- Policy impact evaluation examines changes in key indicators that have occurred since the implementation of a policy and the extent to which changes can be attributed to the policy.

2. Problem Statement

a. Definition of problem

- To clearly define the problem, one should distinguish the symptoms or effects of a problem from the actual problem. Part of clearly defining the problem includes describing in qualitative and quantitative terms such aspects as how often the problem occurs, when it occurs, its impact when it occurs, etc.

b. Goals and objectives

This describe the range of desired outcomes or what is to be achieved by implementing the policy. Measurability is always considered to be an important principle in setting objectives

c. Stakeholders

These are the direct or indirect beneficiaries of the policy to be implemented

d. Significance of problem situation

The significance of the issue/problem that will be addressed and its relevance in the agency and its stakeholders

3. Policy alternatives

a. Criteria/Measure of effectiveness

Following the elaboration of the alternatives, a preferred policy option to address the particular problem is then selected based on a set of evaluation criteria. The use of this criteria-based evaluation process not only allows policy maker to choose a suitable alternative, but it will also form the basis on which they can authoritatively argue for the legitimacy of their policy option. Although the issue in question and the context will determine the specifics of the evaluation criteria, commonly used criteria in this process are as follows:

- Effectiveness: To what extent will this alternative produce the desired outcomes, i.e., solve the current problem?
- Efficiency: Based on a cost-benefit analysis of both money and social impact, how will this option affect the target groups?
- Equity: Is there a fair distribution of costs and benefits?
- Feasibility/Implementability: Is there a suitable political, administrative and legal framework in place to allow for the effective and efficient implementation of this option?
- Flexibility/Improvability: Does this option have the flexibility to be changed to suit other possible situations or allow for improvements?

b. Description of alternatives

For each alternative, describe the policy idea, the expected outcomes of the idea if it were implemented, and both the advantages and disadvantages of each idea or approach

c. Comparison of alternatives

- i. Satisfaction of the criteria
- ii. Spillovers and externalities
- iii. Constraints

4. Policy recommendation (s)

- a. Justification for preferred alternative(s)
- b. Outline of implementation strategy
- c. Provisions for monitoring and evaluation
- d. Limitations and unanticipated consequences

Policy Brief Template (The policy brief must not exceed 4 pages)

Title of research :

Location of research :

Define the context and the issue

- Stakeholders and actors involved
- Scale of the problem (numbers of people, costs etc)
- Why is the issue important – what impact does it have and how does it relate to development outcomes
- Background research

Findings

- What has been uncovered about the issue
- Links, dynamics, causes or relationships between different components of the issues
- Viewpoints of the stakeholders involved
- Why and how are current approaches are succeeding or failing
- Impacts of these dynamics on the stakeholders and broader development outcomes

Implications

- What do these findings mean for development actors?
- What might be the outcomes of recommended courses of action or inaction

Policy Recommendations

- What actions that various actors should take to deliver the chosen option?
- Specifics of how to implement the chosen option
- What actions and appropriate roles could, or should the different actors take to address the issue

Sources/ References

- List of the sources referenced in the paper
- Show a track record of commentary and analysis in this area

Contact Details

- In the policy brief, the focus is not just on the message in the paper, but on who is presenting the analysis. Provide contact details of the originator/s

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