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JUN 10 2016

DENR Administrative Order
No. 2016 - 09

**SUBJECT : REVISED GUIDELINES ON THE POLICY
 DEVELOPMENT SYSTEM (PDS) OF THE DENR**

Pursuant to Executive Order (E.O.) No. 192 dated June 20, 1987 otherwise known as "Reorganization Act of the Department of Environment and Natural Resources"¹, DENR Administrative Order (DAO) No. 1 dated January 13, 1988; E.O. No. 366 dated October 4, 2004 or the Rationalization Plan and its IRR; DAO No. 2014-01 dated January 14, 2014 adopting the new DENR organizational structure based on E.O. No. 366; and Republic Act (R.A.) No. 9710 dated August 14, 2009 or the Magna Carta of Women, the following Guidelines are hereby issued:

SECTION 1. Declaration of Policy. It is the policy of the State to ensure the sustainable use, development, management, protection and conservation of the country's environment and natural resources as well as to ensure equitable sharing of the benefits derived therefrom for the welfare of the present and future generations. In pursuance thereof, the DENR is mandated to formulate, implement and supervise the government's policies, plans and programs pertaining to the management, conservation, development, use, licensing regulation and replenishment of the country's natural resources. Likewise, it shall promulgate rules and regulations in accordance with the law governing the exploration, development, conservation, extraction, disposition, use and such other commercial activities tending to cause the depletion and degradation of our natural resources.

SECTION 2. Objectives

- 2.1 **General Objective.** To strengthen the DENR's Policy Development System (PDS) as an integral part of the Department's planning process, taking into consideration the anticipated and identified institutional, resource and system issues as well as various ways to stimulate and foster dedicated service to the Filipinos.
- 2.2 **Specific Objective.** To provide specific guidelines for the organization and functions of the different policy units of the Department.

SECTION 3. The DENR Policy Organizational Structure. The national policy formulation process in the DENR involves various stages and levels as described below for strict scrutiny and proper considerations of all relevant factors:

- 3.1 **DENR Executive Committee (ExeCom).** The ExeCom is the central policy decision-making body of the DENR, headed by the Secretary, who has the authority and responsibility to carry out the mandates, policies, plans, programs and projects of the Department, discharge its powers, authorities and functions and accomplish its objectives. He/she has the authority to undertake national policy standards and for the effective and efficient operations of the Department.

¹ Hereafter, alternatively referred to as "the Department" or "DENR"

- 3.2 **Policy Studies Division.** The Policy Studies Division (PSD), as promulgated by DAO No. 1, Series of 1988, is the focus for policy work and coordination in the central office, bureaus, attached agencies, and field offices of the DENR. It is responsible for formulating policy recommendations and strategies for the conservation, management, efficient and effective use, and sustainable development of the environment and natural resources. In addition, it undertakes studies on specific policy areas for improved management of the environment and natural resources and the impact of national development and trade policies on natural resources conservation. It shall also coordinate with the Program Monitoring and Evaluation Division (PMED) in the monitoring of policy implementation and policy impact evaluation of programs and projects of the DENR's regional and field offices.
- 3.3 **Policy Technical Working Group.** To ensure efficient and effective formulation of policies by the different offices and units of the DENR, the Policy Technical Working Group (PTWG) is hereby strengthened. It shall be composed of officials and senior technical personnel representing, on a permanent basis, the major units or offices of the DENR Central Office and the line and staff bureaus described or created under DAO No. 1, Series of 1988 and subsequent amendments thereto. These offices and units include the Office of the Secretary, Offices of Undersecretaries, Offices of Assistant Secretaries, service offices, and all line and staff bureaus. Representatives from other offices and units which are not mentioned herein, may attend PTWG meetings from time to time to provide technical expertise on relevant policy matters.

The PTWG shall be chaired by the Director of the Policy and Planning Service (PPS), with members composed of the Assistant Directors of all bureaus or their concerned Division Chiefs as alternate, and senior technical personnel of the major offices and units of the DENR Central Office. Every member of the PTWG shall be recommended by the concerned office and unit's Head and his or her membership to the PTWG shall be formalized through a Special Order to be issued by the Secretary. The PTWG meetings shall be conducted at least twice a month, or as the need arises, at a time and date agreed upon by its members.

It is the primary role of the PTWG to act as the central clearing house for all proposed DENR policy issuances and position papers. It may also review existing policies on Environment and Natural Resources (ENR) and provide relevant recommendations on the same.

To carry out the foregoing, it shall have the following functions and responsibilities:

- a. review, discuss, deliberate, revise and provide inputs, comments and recommendations to proposed ENR policy issuances emanating from the bureaus, attached agencies, regional offices, Presidential directives and other DENR offices;
- b. consult other agencies, institutions, experts and other interest groups in the process of deliberation and discussion;
- c. prepare the final draft of policy issuances based on the consolidation of comments and recommendations, which shall be presented by the PTWG Chairperson to the DENR ExeCom; and
- d. perform such other functions as may be duly assigned.



PTWG Secretariat. The PSD staff shall serve as the PTWG Secretariat, who is tasked to undertake the following:

- a. Prepare and send written notices of meetings or consultations prior to the scheduled meeting or consultation
- b. Keep records of the proceedings of PTWG meetings and consultations;
- c. Consolidate the comments and recommendations on matters discussed in PTWG meetings and incorporate the same in the proposed policy issuances and presidential directives;
- d. Arrange the venue and facilities needed for PTWG meetings;
- e. Prepare the agenda items and collate papers, materials and documents pertinent thereto for PTWG meetings and consultations;
- f. Screen or check the completeness of proposed policies and supporting documents or references prior to presentation or deliberation by the PTWG; and
- g. Perform other functions as may be assigned

- 3.4 **Policy Review Committee.** A Policy Review Committee (PRC) shall be formed in every bureau. It shall provide guidance in the formulation, analysis, and evaluation of sectoral policies. It shall also initiate new sectoral policy proposals and reforms in line with the thrusts of the DENR. The Assistant Director of every bureau shall serve as the Chairperson of their respective PRC with all the Division Chiefs as members and the Planning and Management Staff as Secretariat.

The inputs, comments and recommendations of the PRC shall be submitted to the Bureau Director for consideration and/or endorsement. After the consideration and/or endorsement of the Bureau Director, the proposed policy shall be forwarded to the Undersecretary for Policy, Planning and Foreign-Assisted Programs (PPFAP), through PSD for PTWG review.

- 3.5 **Policy Formulation Group.** A Policy Formulation Group (PFG) shall be created in every bureau. The PFG shall be composed of all Division Chiefs and Section Chiefs of every Bureau with the Chief of the Planning and Management Division as the Chairperson. The PFG may invite representatives from other sectoral bureaus and offices to assist in the formulation of a policy.

The PFG shall have the following functions and responsibilities:

- a. Initiate the formulation or development of policies and endorsement of the same to the PRC;
- b. Coordinate with the PSD in monitoring policy implementation;
- c. Assist in institutionalizing linkages with other government offices, non-government organizations (NGOs) and civil society organizations (CSOs);
- d. Conduct consultations with different offices regarding matters on policy studies;
- e. Attend policy-oriented conferences or workshops or seminars and the like;
- f. Coordinate policy proposals from Technical Divisions of the DENR, its bureaus, attached agencies and other offices; and
- g. Perform other related functions as may be assigned.

SECTION 4. Policy Formulation Process. policy issues or proposals shall come from the DENR regional or field offices, bureaus, attached agencies and other offices, the Office of the President, other government departments and agencies, CSOs and NGOs.

At the regional or field level, all policy issues will emanate from the Office of the Assistant Regional Director (ARD) for Technical Services. These policy issues shall be submitted to the ARD for Management Services through the Planning and Management

Division. The ARD for Management Services shall then submit the same to the Regional Director (RD), who shall endorse these proposed policy issues to the concerned Bureau Director, with copy furnished to the Undersecretary for Field Operations. Once a policy proposal has been drafted by the bureau concerned, the same shall be endorsed to the Undersecretary for PPFAP for review and deliberation by the PTWG, through the PSD.

The bureaus, through their respective sectoral PFGs, shall initiate the formulation of policy proposals, which will be subjected to review by the PRC. Once the draft policy proposal has been reviewed and subsequently endorsed by the Bureau Director, it shall be submitted to the Undersecretary for PPFAP for review and deliberation by the PTWG, through the PSD. After the PTWG's review of the draft policy, the same shall be returned to the proponent, for comments consolidation or further discussion and enhancement based on the PTWG's suggested revisions. If there is no need for modification, it shall then be returned to the PTWG for final processing and review.

Once finalized, the draft policy shall be endorsed by the Undersecretary for PPFAP to the Office of the Head Executive Assistant (HEA) for presentation to the Undersecretaries and Assistant Secretaries (USECs/ASECs) Meeting. If there are additional comments and clarifications by the USECs and ASECs, the proposed policy shall be returned to the proponent through the proper channel or protocol. If there are no further comments and modification, the draft policy will then be endorsed to the Office of the Secretary for presentation to the DENR Execom. Once the DENR ExeCom approves the proposed policy without need for further revisions, the draft policy shall then be submitted to the Secretary for his/her approval and signature. The PTWG Secretariat should provide official copies (physical and digital) of policy to the concerned office or bureau once approved by the Secretary.

An illustration of the process flow of the DENR PDS is attached hereto as "Annex A".

SECTION 5. Policy Development Framework (PDF). A Policy Development Framework (PDF), which forms an integral part of this Order and attached hereto as "Annex B" is hereby adopted to serve as a guide for officials and personnel on the Policy Development System of the DENR.

SECTION 6. Funding. All DENR bureaus and offices involved in the Policy Development System shall allocate funds for related activities.

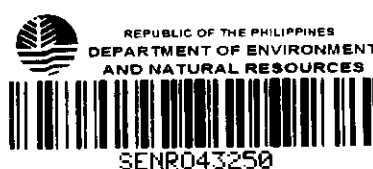
SECTION 7. Transitory Provision. To ensure the continuity of operations, the present PTWG members shall remain as such until other personnel are designated by the proper authorities provided under this Order.

SECTION 8. Repealing Clause. DAO No. 31, s. 1992 is hereby repealed. All Orders, Memoranda and Circulars inconsistent herewith are hereby revoked or amended accordingly.

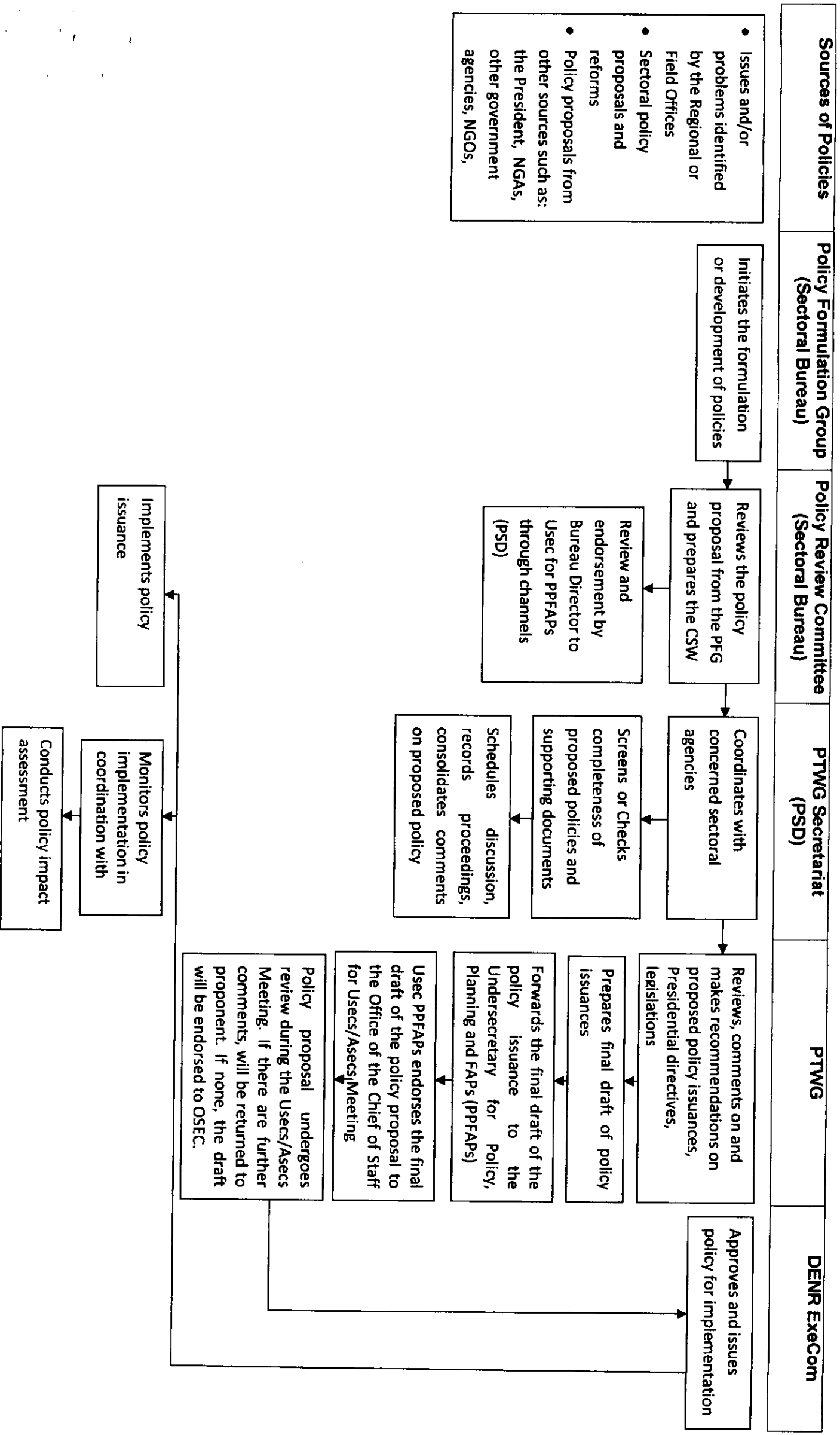
SECTION 9. Effectivity. This Order shall take effect fifteen (15) days after its complete publication in a newspaper of general circulation and upon acknowledgement of receipt of a copy thereof by the Office of the National Administrative Register (ONAR), UP Law Center.


RAMON J. PAJE
 Secretary 

PUBLICATION : MALAYA
 JULY 1, 2016
 ACKNOWLEDGEMENT : UP LAW CENTER
 JULY 7, 2016



THE DENR POLICY DEVELOPMENT SYSTEM



DENR POLICY DEVELOPMENT FRAMEWORK

I. INTRODUCTION

Pursuant to Executive Order (E.O.) No. 192 dated June 20, 1987, the Department of Environment and Natural Resources (DENR) is the primary government agency mandated to be responsible for the conservation, management and proper use, and sustainable development of the country's environment and natural resources. In accomplishing its mandates, the DENR instituted a policy development system as an integral part of the planning process, taking into consideration the anticipated and identified institutional, resources and systems issues verified at the field level. On July 3, 1992, DENR Administrative Order (DAO) No. 31, s. 1992 was issued establishing the DENR Policy Development System (PDS). It provides specific guidelines for the organization and functions of the different policy units of the DENR.

In light of new policy developments, challenges and changes in the policy environment, and to strengthen the DENR Policy Technical Working Group (PTWG) and the processes of policy formulation, implementation and monitoring and evaluation, a review and updating of the existing Policy Development Framework (PDF) was conceived. The need to streamline the existing protocols and improve the current policy development system requires the enhancement of the PDF.

On January 14, 2014, DAO No. 2014-01 was issued adopting a new organizational structure pursuant to E.O. No. 366 otherwise known as the Rationalization Program, which requires all departments/agencies to conduct comprehensive review of their respective mandates, missions, objectives, functions, programs, projects, activities and systems and procedures to improve the government's service delivery and productivity.

The enhancement and updating of the PDF will make it more pragmatic, operational and responsive to the current management requirements and set-up of the DENR.

II. Mission

To adopt and implement sound and responsive policies towards the sustainability of natural resources and protection of the environment for the improvement of quality of life of the present and future generation of the Filipino people.

III. Vision

The DENR providing sound and effective policies towards the sustainable use, development, management, protection and conservation of the country's environment and natural resources, as well as the equitable sharing of the benefits derived therefrom.

IV. Goal

Environment and Natural Resources (ENR) Policy Development System as an effective, efficient and responsive enabling mechanism for the sustainable development of natural resources and protection of the environment.

V. Objectives

1. To set a standard on the development, implementation, and monitoring of all policies;
2. To address various policy issues and gaps identified in response to changes in the policy environment;
3. To design effective and efficient policies to influence outcomes;
4. To identify and establish the roles and responsibilities of the policy units involved in the development, implementation and management of ENR policies in an efficient, cost-effective and consistent manner; and

5. To institutionalize the Policy Development System of the DENR.

VI. THE POLICY DEVELOPMENT PROCESS (PDP)

The Policy Development Process (PDP) is a logical and sequential approach to the formulation, implementation, monitoring and evaluation of policies. It involves the staff/line bureaus, regional offices, all stakeholders, attached agencies and DENR Central-based offices. The DENR PDP is divided into three (3) phases as described below:

A. Policy Formulation

1. ***Issue / Problem Identification***. Key activities include the articulation of issues, problems and crisis and societal welfare needs that would require policy action. The sources and bases of problems and issues may emanate from the field, or those that are identified through policy agenda (policy pronouncements, Philippine Development Plan, international and inter-agency commitments, President's SONA, DENR ExeCom); policy review and assessment; result of policy monitoring; and current and emerging ENR issues (Policy gap assessment and policy monitoring review are included assuming that these processes are integrated in the PDS). Office sources may include the Executive, Legislative and the Judiciary branches, National Government Agencies (NGAs), international bodies, Civil Society Organizations (CSOs), Non-Government Organizations (NGOs), academe, Regional Development Councils (RDCs), Regional Government Agencies (RGAs), and the DENR and its offices. The issues or problems are determined through these parameters: a) mandated by law, b) mandated by international commitments, c) meeting developmental goals, d) result of monitoring and policy review (to include issues/problems arising from client satisfaction survey), and e) implementability.

It is important to note that the issue or problem should be clearly defined in order for an appropriate policy action to be formulated. A policy agenda is set and criteria and indicators are established and employed for prioritizing policy problems requiring attention by policy and decision-makers.

2. ***Problem and Issue Analysis***. This step includes the gathering of facts and assessing the issue in a more in-depth manner using analytical tools (e.g., cost-benefit analysis, impact analysis, study of carrying capacity, problem tree analysis, stakeholders' analysis, SWOT analysis, policy log frame, etc.). After analysis, the problems or issues should be stated clearly and elaborated adequately.
3. ***Policy Options Formulation***. This involves defining the policy options including the objectives and strategies for achieving them; formulating the policy options or alternatives; evaluating and selecting the best policy option based on evaluation tools such as SD tools (environment, economic, social) and on its implementability/social acceptability; and drafting of the policy instrument. The elements of policy formulation shall include the legal basis, urgency, scope, objectives, ownership, consistency with other policies, collaborativeness, strong implementation and monitoring mechanism, effective public service delivery, and sustainability. The policy must be developed in such a way that it is specific, measurable, attainable/implementable, replicable/logical, timebound, effective and efficient. The policy-making process should veer away from compartmentalized approach and consider the framework as a whole. It is also important to include lessons learned or experienced in field implementation in the crafting of the policy. Proposed policies should have been refined at the sectoral level.
4. ***Policy Discussions and Agreements***. The proposed policy is articulated and presented to the stakeholders to create an opportunity for others to review, comment and make suggestions on the draft document. Thereafter the proposed policy shall be revised accordingly. Building a consensus will pave the way for the adoption and subsequent endorsement of the draft policy to the PTWG.

5. **Policy Approval and Adoption.** The policy instrument may be in the form of a DENR Administrative Order, Memorandum Circular, Memorandum Order, Manuals and Guidebooks, draft Executive Order and other executive issuances, draft Implementing Rules and Regulations, draft legislative bills and joint issuances. After the presentation, deliberation and endorsement of the PTWG, the policy instrument shall be submitted to the DENR Executive Committee (ExeCom) for further review, prior to the approval of the Secretary. Once approved, the draft policy shall be circulated and published, if necessary.

Issues in the Policy-making Process

The existing DENR PDP was assessed to be riddled with major issues and concerns which remain valid up to this day. Hereunder are the issues identified with the corresponding measures or strategies to improve the PDP:

Issues	Strategies
Sectoral approach to issue analysis	Functional approach in the analysis of issues/concerns Harmonization of sectoral concerns
Reactive approach to issue analysis	Could be addressed on a regional level except if the issue is of a national scope Policy research functions should be well-defined
Limited /weak adherence to the policy formulation process	Strengthen foundations of policy options. Ensure that there is enough data for policy analysis
Limited staff capability on policy analysis	Capability-building for personnel who are handling policy analysis at the sector/bureau, region/field office
Unreconciled conceptual resource management approaches	Reconcile these management approaches
Inadequate data for policy analysis	Determine and collect data needed for the use of analytical tools for policy analysis and decision-making
Lack of policy research to support decision-making	Strengthen research capability of policy staff of bureaus, regions, research sector and all other DENR offices involved in the PDP Policies should include scientific research
Absence of formal and established feedback mechanism	Creation of a formal feedback mechanism from the field offices through questionnaire
Non-adherence to standard formats in writing policy issuances	Updating of the manual of style for the standard format of policies Appropriate policy instrument should be defined (whether in a form of a DAO, MC, etc.) Capacity-building on policy formats
Lack of resources (financial and manpower) for full policy implementation	Set aside resources for stakeholders' consultation, policy research, monitoring and evaluation, etc.
Inadequate IEC for newly approved policies	Cascade IEC to the office down to the PENROs/CENROs Regional Management Conferences can be used as venue for IEC on policies
Gender-sensitivity of policies	Policy makers must endeavor to ensure that the policies proposed are gender sensitive

B. Policy Implementation

Implementation translate the the approved policy into a policy instrument, where the actions necessary to put it into effect are undertaken and supported by human and financial resources. Any deficiencies in the design or content of the policy are uncovered during its implementation.

C. Policy Impact Monitoring and Evaluation

The evaluation of a policy after its implementation is important to determine whether it has satisfied its objectives and met its desired reforms. This process should be able to capture both the positive and negative effects of the policy, and measure its success. In monitoring the policy, the following parameters should be considered:

- a. implementation of policy;
- b. compliance;
- c. acceptability (nationwide/regional level);
- d. attainment of objective; and
- e. compliance.

In addition, the following criteria for evaluation are: effectivity; efficiency, social acceptability, administrative practicality, necessity/relevance, impact and sustainability.

To effectively evaluate the parameters for monitoring, the following questions shall be addressed:

- a. Do you know the policy?
- b. In what ways did the policy help you in your work?
- c. Was the policy flexible enough to attain the objectives?
- d. Please rate the present effects of the policy in your operation.
- e. How satisfied were the stakeholders in the implementation of the policy?
- f. Are the personnel consistent in the implementation of the policy?

In order to strengthen the Department's Policy Monitoring and Evaluation (M&E), the PSD shall coordinate with the Planning and Programming Division (PPD) and the Program Monitoring and Evaluation Division (PMED).

The Flowchart on the DENR Policy Development Process is attached as Annex "B."

THE DENR POLICY DEVELOPMENT PROCESS

