



Republic of the Philippines
Department of Social Welfare and Development

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ADMINISTRATIVE ORDER NO. 03
Series of 2014

GUIDELINES AND PROTOCOLS
FOR DSWD ISSUANCES

I. RATIONALE

This Administrative Order intends to:

- a. Rationalize the preparation of administrative issuances, and
- b. Provide uniform policies and procedures for effective coordination and dissemination of administrative issuances.

II. LEGAL BASIS

The Department Secretary is authorized to:

- a. Establish the policies and standards for the operation of the Department pursuant to the approved programs of government;
- b. Promulgate rules and regulations necessary to carry out Department objectives, policies, functions, plans, programs and projects; and
- c. Promulgate administrative issuances necessary for the efficient administration of the Department and for proper execution of laws relative thereto. [Executive Order No. 292 (the Revised Administrative Code), Book IV Chapter 2 Section 7]

Executive and administrative issuances of general application have to be published in the *Official Gazette*. [E.O. No. 292, Book I Chapter 6 Section 24] Also, government bodies and officials have to deposit copies of rules and regulations, circulars and other official issuances with the University of the Philippines Law Center. [Administrative Order No. 108, series of 1989, and Memorandum Circular No. 11, dated 9 October 1992, both from the Office of the President]

III. DEFINITIONS

1. **Administrative Issuances** – official documents issued by the Department that either (a) prescribe policies, rules and regulations, and procedures promulgated pursuant to law, applicable to individuals and organizations outside the Government and designed to supplement provisions of the law or to provide means for carrying them out, including information relating thereto, or (b) direct particular offices, officials, or employees, concerning specific matters including assignments, detail and transfer of personnel, for observance or compliance by all concerned.
2. **Compilation** – for purposes of this Administrative Order, the collection of the digital copies of all Department administrative issuances.
3. **Index** – for purposes of this Administrative Order, a list of all Department administrative issuances, indicating how each administrative issuance affects (*e.g.*, repeals, supplements, enhances, amends, modifies, etc.), or is affected by, other administrative issuances.
4. **Proponent** – the office, bureau, service or unit (OBSU) of the Central Office (CO) or Field Office (FO) that identifies policy issues or operational or programmatic concerns to be addressed by an administrative issuance.
5. **Record Book** – the official logbook in which all Department administrative issuances are logged.
6. **Records Section** – the Online Forum Records and Archives Management Section of the Administrative Service.

IV. COVERAGE

This Administrative Order covers only administrative issuances, as defined above, that are national in scope and department-wide in application. Hence, administrative issuances by the FOs are not covered by this Administrative Order.

Furthermore, “*Inter-Office Communications*”, which are formal exchanges of communication between and among officials and employees of the Department, are not administrative issuances. Hence, inter-office communications are not covered by this Administrative Order.

V. POLICIES

1. Administrative issuances shall be:
 - a. In the form of circulars or orders, in accordance with the classification below,
 - b. Signed by the Secretary, subject to Memorandum Circular No. 009, series of 2012 (*Delegation and Delineation of Authority in the DSWD*), and
 - c. Properly numbered and identified.
2. Administrative issuances shall be written in such a way that they would easily be read and understood by their intended audience.
3. Administrative issuances shall be properly recorded, compiled, indexed, preserved and made accessible to their intended audience, and where applicable, published, and copies thereof entrusted to authorized depository for safekeeping, in accordance with applicable laws, rules and regulations.
4. Unless expressly authorized by law, administrative issuances shall not prescribe penalties for their violation. [E.O. No. 292, Book IV Chapter 2 Section 7(4)]

VI. CLASSIFICATION

Administrative issuances shall be classified as follows: ¹

Memorandum Circulars (MCs) prescribe policies, rules and regulations in carrying out the Department's mandates. These are designed to supplement laws, to provide means for carrying out laws, or to clarify issues resulting from implementation of laws to prevent any further confusion by providing timely information relating thereto. These include implementing rules and

¹ **NOTE:** Book IV Chapter 11 (Administrative Issuances) of E.O. No. 292 provides:

Section 50. *General Classification of Issuances.* – The administrative issuances of Secretaries and heads of bureaus, offices or agencies shall be in the form of circulars or orders.

- (1) Circulars shall refer to issuances prescribing policies, rules and regulations, and procedures promulgated pursuant to law, applicable to individuals and organizations outside the Government and designed to supplement provisions of the law or to provide means for carrying them out, including information relating thereto; and
- (2) Orders shall refer to issuances directed to particular offices, officials, or employees, concerning specific matters including assignments, detail and transfer of personnel, for observance or compliance by all concerned.

That is, prior to this Administrative Order, DSWD issuances designated as "MCs" are actually "Orders" as defined under E.O. No. 292, while DSWD issuances designated as "AOs" are actually "Circulars" as defined under E.O. No. 292. Hence, the classifications of DSWD issuances are now being aligned with the corresponding definitions under E.O. No. 292.

regulations (IRRs) of laws falling under the Department's mandates. These are of general application and cover units and individuals within and outside the DSWD. These are generally permanent in nature.

Administrative Orders (AOs) lay out policies and standards for the efficient administration of the Department. These are merely internal to the DSWD and cover administrative matters that require the attention of officials and employees, for information and compliance. These are issued by the Secretary as administrative head relative to particular aspects of Department operation, to address confusion by timely defining specific similar actions on current issues, concerns and operational procedures. These are generally of Department-wide application, although some may cover administrative matters (excluding disciplinary actions) that concern only particular units of the Department.

Special Orders (SOs) are directed at, and give instructions to, particular officials and employees on specific matters, such as assignment, detail and transfer of personnel, attendance in trainings, seminars and conferences, authority to travel, and the like. These are usually of limited application.

The Records Section, in coordination with the Legal Service, shall provide such assistance as may be necessary to ensure adherence with the foregoing classification of administrative issuances, including conducting studies to develop sub-classifications and guidelines to meet the peculiar needs of the Department.

VII. CONTENTS

1. *Formal Requirements.* Administrative issuances shall indicate the following:
 - a. Issuance number and series
 - b. Title or Subject Matter
 - c. Substantive content
 - d. Date and place of issue
 - e. Name and designation of issuing officer
 - f. Particular offices and persons to be given copies, if any
2. *Substantive Content.* The substantive content of administrative issuances shall include the following, if applicable:
 - a. **Rationale** – This portion should include, but need not be limited to, the following: (i) reasons for the formulation of the administrative issuances; (ii) evidence-based data that would reflect situations and experiences as well as issues and concerns encountered that brought the unit/center to develop the administrative issuances; and (iii) how the administrative issuances could assist/augment overall operation

of the center/institutions/unit. This should answer why the administrative issuances was formulated.

- b. **Legal Basis** – This portion indicates the laws, rules, regulations and issuances relevant to the administrative issuances, with brief description of the salient areas of particular law. Ideally, these should be presented starting from the latest to earliest.
 - c. **Objectives** – The objective should present the purpose of the formulation of the administrative issuances. This should answer what the administrative issuances intends to accomplish.
 - d. **Coverage and/or Scope** – This portion should briefly describe who or what would be covered by the administrative issuances. This can be a person indicating the criteria/qualification, area (indicating the name of the unit/centers/institutions), etc.
 - e. **Definition of Terms** – This portion should present how the terms are operationally used in the administrative issuances. This should be arranged alphabetically.
 - f. **Policy and/or Operational Guidelines** – This portion would thoroughly discuss the general policies and procedures along implementation of the administrative issuances. Each phase should present what will be the step by step process/procedures to be undertaken, indicating the specific activities, timelines, documentary requirements, etc. This portion could also include a flow chart to present the overall flow of the implementing procedures.
 - g. **Implementing Mechanism and/or Institutional Arrangements** – This portion will present clearly the expected roles and responsibilities of each key players involved in the administrative issuances.
 - h. **Repealing, Transitory and Effectivity Clauses** – This portion will indicate when the administrative issuances will take effect, how long it would remain in effect, and what earlier issuances it would affect, if any.
3. *Numbering.* Administrative issuances shall indicate the year in which they are issued (the “series”), and shall be consecutively numbered, starting with the first of each class issued for the year being numbered as “001”.
 4. *Plain Language.* Administrative issuances shall be written to ensure easy comprehension, *i.e.*, clear and straightforward, as brief as possible without sacrificing completeness, free of wordiness, clichés and unnecessary technical

language and jargon, and appropriate to the reading skills and knowledge of their target audience.

5. *Printed Format.* To ensure maximum readability, the final printed form of an administrative issuance shall:
 - 5.1 Be printed on A4-size official letterhead (first page) and plain A4-size paper (succeeding pages)
 - 5.2 Have one-inch (1") right and bottom margins and two-inch (2") top and left margins (to provide space for binding)
 - 5.3 Have footers that include its title and page numbers
 - 5.4 Use 12-point sans serif font, single-spaced, with sufficient spacing between paragraphs

For ease of reference, an ADMINISTRATIVE ISSUANCE SAMPLE/TEMPLATE is annexed hereto.

VIII. PROCEDURES

1. *Initial Drafting.*
 - 1.1 The Proponent shall be responsible for complete staff work for the proposed administrative issuance. This includes acts preparatory to the actual drafting, such as consultations with stakeholders that may be affected, if any, and with other concerned FOs and/or OBSUs.
 - 1.2 The Proponent shall prepare the initial draft of the proposed administrative issuance.
 - 1.3 If an FO does not have a complete draft of the administrative issuance but only has a preliminary document – such as a Situationer or a Position Paper – the FO may endorse the preliminary document to the appropriate OBSU and request such OBSU to draft the proposed administrative issuance.
 - 1.4 The Proponent shall consult the Legal Service to determine if the contemplated administrative issuance would have to be published in a newspaper of general circulation, and if so, ensure that there are sufficient funds for such publication.
 - 1.5 The Proponent shall then transmit the initial draft of the proposed administrative issuance to (i) the Head of the Cluster to which it

belongs, if the Proponent is an OBSU, or (ii) the EXECOM, if the Proponent is an FO.

2. *Procedure within the Cluster.*

2.1 Within five (5) working days from receipt of the proposed administrative issuance, the Cluster Head shall either:

- (a) have the Proponent further revise or enhance the same, or
- (b) approve the proposed administrative issuance.

2.2 Upon approval, the Cluster Head shall immediately endorse the proposed administrative issuance to the Chairperson of the Management Committee (MANCOM).

3. *Procedure within the MANCOM.*

3.1 Upon receipt of the proposed administrative issuance, the MANCOM Chairperson shall include the same in the agenda for the next MANCOM meeting, which shall be held within the next fifteen (15) days.

3.2 The MANCOM Secretariat shall then circulate the proposed administrative issuance for comment among all OBSUs and all FOs.

3.3 OBSUs and FOs shall submit their comments within three (3) days from receipt of the proposed administrative issuance. OBSUs and FOs that fail to submit any comment within the given period shall be deemed to have no comment on, or objection to, the proposed administrative issuance.

3.4 During the MANCOM meeting, the Proponent shall present the actions taken regarding the comments, together with the draft, revised as needed, of the proposed administrative issuance. The MANCOM shall then discuss the proposed administrative issuance, and then either:

- (a) have the Proponent further revise or enhance the same, or
- (b) approve the proposed administrative issuance.

3.5 Upon approval by the MANCOM, the MANCOM Chairperson shall immediately endorse the proposed administrative issuance to the Secretariat of the Executive Committee (EXECOM).

4. *Procedure within the EXECOM.*
 - 4.1 Upon receipt of the proposed administrative issuance, the EXECOM Secretariat shall:
 - (a) include the same in the agenda for the next EXECOM meeting, which shall be held within the next seven (7) days; and
 - (b) provide EXECOM members copies of the same at least two (2) days before the next EXECOM meeting.
 - 4.2 During the EXECOM meeting, the EXECOM shall discuss the proposed administrative issuance, and then either:
 - (a) solicit additional comments from the Proponent, other OBSUs or FOs, other stakeholders, or other resource persons, as may be deemed necessary,
 - (b) remand the proposed administrative issuance for further discussion and refinement to an OBSU, a Cluster, or the MANCOM, or
 - (c) approve the proposed administrative issuance.
5. *Execution.* If the Secretary approves the final draft of the proposed administrative issuance, the Secretary shall then execute the administrative issuance, in at least three (3) originals, initialing every page and signing the signature page thereof.
6. *Issuance.* After the Secretary has executed the administrative issuance, the Office of the Secretary shall issue the same by transmitting the originals to the Records Section.
7. *Recording.* The Records Section shall then:
 - 7.1 Number the administrative issuance, in accordance with the system mentioned above.
 - 7.2 Log the administrative issuance in the RECORD BOOK of administrative issuances, indicating the number, title, and date of issuance.
 - 7.3 Return one original to the Office of the Secretary, transmit one original to the Legal Service, keep all other originals for safekeeping, and transmit one certified true copy to the Proponent.

- 7.4 Make a digital copy of the administrative issuance, include the digital copy in the COMPILATION of digital copies of administrative issuances, and transmit the digital copy to the Social Marketing Service (SMS) and the Legal Service.
8. *Dissemination.* The Records Section, through the Administrative Service, shall then:
- 8.1 Post copies of the MC or AO (but not an SO) in conspicuous places within the premises of the CO.
- 8.2 Transmit digital copies and certified true copies of the administrative issuance to all OBSUs and FOs, and other offices and persons particularly indicated therein.
9. *Posting.* Every OBSU and FO shall post copies of the MC or AO (but not an SO) in a conspicuous place within its premises for at least two weeks.
10. *Deposit, Publication and Filing.* The Legal Service shall:
- 10.1 Update the digital INDEX of administrative issuances (as defined below), and transmit the updated digital INDEX to the SMS.
- 10.2 Deposit a copy of the MC or AO (but not an SO) with the *Official Gazette*.
- 10.3 If the administrative issuance has to be published in a newspaper of general circulation, cause such publication at the expense of the Proponent.
- 10.4 Determine if a copy of the MC or AO (but not an SO) has to be filed with the University of the Philippines Law Center, and if so, make such filing.
11. *Announcement.* When applicable and advisable, the SMS shall:
- 11.1 Inform concerned stakeholders about, and furnish them copies of, the MC or AO (but not an SO).
- 11.2 Publicize the MC or AO (but not an SO) on the Department's website and through press release.
- 11.3 Upload onto the Department's website the digital copy of the MC or AO (but not an SO) and the updated INDEX.

For ease of reference, a FLOW CHART for the above procedures is annexed hereto.

IX. INSTITUTIONAL ARRANGEMENTS

1. The Records Section shall be the official repository of originals and digital copies of all administrative issuances.
 - 1.1 For this purpose, the Records Section shall keep, maintain and update a RECORD BOOK in which all administrative issuances shall be recorded.
 - 1.2 The Records Section shall make such RECORD BOOK available to the public for inspection during regular office hours.
 - 1.3 The Records Section shall keep, maintain and update a COMPILATION of digital copies of all administrative issuances.
2. The Legal Service shall be the backup repository of originals (and in their absence, machine copies) and digital copies of all administrative issuances.
3. The Legal Service shall keep, maintain and update a digital INDEX of all administrative issuances.
4. The Records Unit, Legal Service, and the SMS shall jointly ensure that the COMPILATION and the INDEX are uploaded to the Department's website and made accessible to the public.

X. MONITORING AND REPORTING

1. If an administrative issuance requires monitoring, it shall name the FO or OBSU responsible therefor. In case no such FO or OBSU is explicitly named, the Proponent shall be deemed responsible therefor.
2. For administrative issuances requiring monitoring, the responsible FO or OBSU shall submit, within the first fifteen (15) days of every December, an ANNUAL MONITORING REPORT to:
 - a. The MANCOM, for discussion, and
 - b. The EXECOM, for policy decision, if needed.

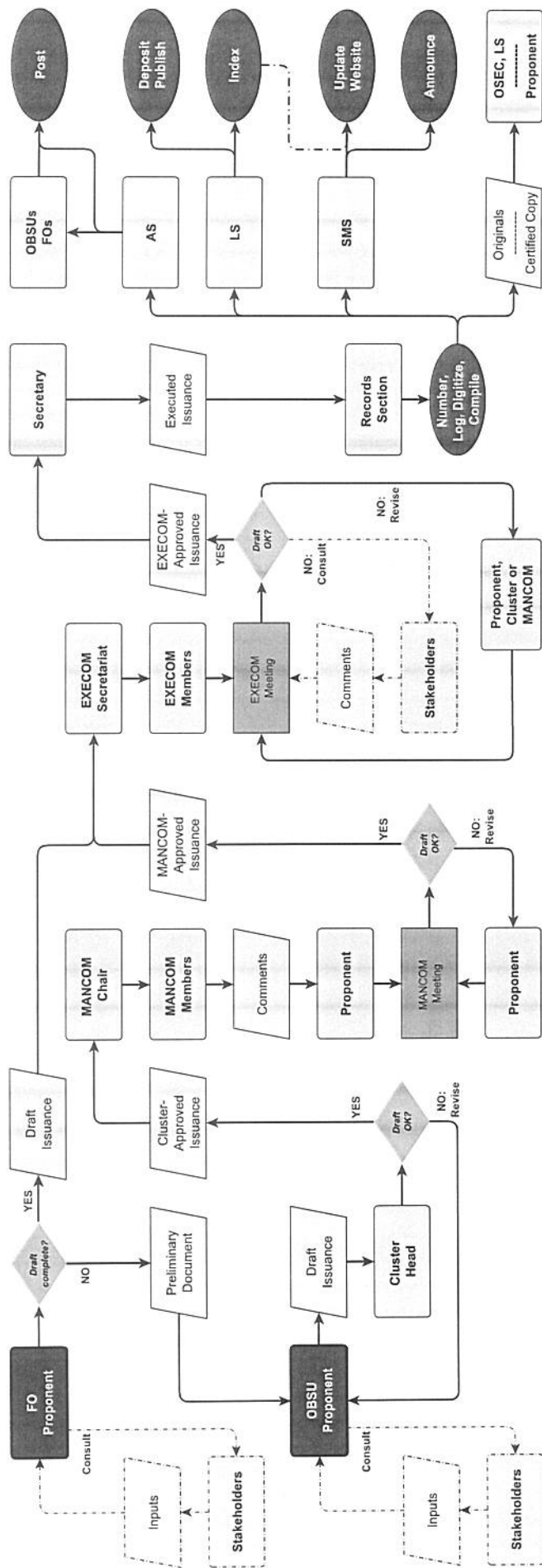
For this purpose, an ANNUAL MONITORING REPORT TEMPLATE is annexed hereto.

XI. EFFECTIVITY AND REPEALING CLAUSES

1. This Administrative Order shall take effect immediately.
2. All previous issuances contrary to or inconsistent with this Administrative Order are hereby repealed, modified or amended accordingly, including, but not necessarily limited to, MC No. 4, series of 2009 (*Amendment to the Guidelines in the Preparation of Administrative Issuances*), MC No. 7, series of 2003 (*Guidelines in the Preparation of Administrative Issuances*), MC No. 9, series of 2005, MC No. 40, series of 2004 (*Website Development and Maintenance Guidelines*), and MC No. 7, series of 2013 (*Revised Terms of Reference of the DSWD Management Committee [MANCOM]*).
3. The classification of administrative issuances herein shall apply prospectively. That is, all previously issued AOs shall continue to be referred to as AOs, and all previously issued MCs shall continue to be referred to as MCs.
4. All FOs and OBSUs are enjoined to extend full cooperation to the Records Section and the Legal Service in their efforts to complete the compilation of originals, machine copies and digital copies of past DSWD administrative issuances.

August 22, 2014, Quezon City, Philippines.


CORAZON JULIANO-SOLIMAN
Secretary



ADMINISTRATIVE ORDER NO. _____ /
MEMORANDUM CIRCULAR NO. _____
Series of 2014

**ADMINISTRATIVE ISSUANCE
SAMPLE / TEMPLATE**

[TITLE / SUBJECT MATTER]

I. RATIONALE

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II. LEGAL BASIS

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III. OBJECTIVES

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IV. COVERAGE and/or SCOPE

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V. DEFINITION OF TERMS

1. *Donec* – viverra mi massa, non molestie sem sodales vitae.
2. *Curabitur* – quis arcu vel dolor tincidunt consectetur et id ligula.xxx

VI. POLICY and/or OPERATIONAL GUIDELINES

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A. Odio Et Urna Fringilla

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B. Donec viverra lorem tempus

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VII. IMPLEMENTING MECHANISM and/or INSTITUTIONAL ARRANGEMENTS

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VIII. REPEALING, TRANSITORY and EFFECTIVITY CLAUSES

This administrative issuance shall take effect on xxx

This administrative issuance shall repeal xxx

Furnish copies of this issuance to xxx

[Date], [Place].

[NAME]
Secretary

MONITORING REPORT FOR ADMINISTRATIVE ISSUANCES

Calendar Year _____

Proponent OBSU/FO						
ADMINISTRATIVE ISSUANCE (AO/MC NO. AND TITLE)	IMPLEMENTING UNIT/S	SPECIFIC ACTIONS TAKEN IN VIEW OF THE ASSIGNED ROLE	OTHER SIGNIFICANT ACTIVITIES TAKEN	AREAS OF CONCERN	IMPLEMENTATION GAPS	RECOMMENDATIONS
DATE	<i>Prepared by:</i> NAME DESIGNATION			<i>Noted by:</i> NAME DESIGNATION		