

Subject : Protocol for the Conduct of Research Studies in DSWD Offices, Centers and Institutions, Amending Administrative Order No. 19, s. 2011 including Request of SWD Data/Information

I. Rationale/Background

The Department of Social Welfare and Development (DSWD) as a dynamic and evolving organization recognizes the importance of evidence-based information for policy and program development in addressing critical issues and concerns of poor, disadvantaged, vulnerable and marginalized sectors of society. As such, the DSWD, including the Central Office and Field Offices and its Centers and Institutions is a rich source of data and information that could be used as basis for research studies along social welfare and development (SWD) as well as social protection. Further, given the mandate of the Department to provide leadership in SWD, it is the Department's responsibility to share experiences and expertise in these fields to those who are interested to conduct research studies.

In 2006, 2007 and 2011, Administrative Orders No. 10, 4 and 19 respectively were issued to provide guidelines for the conduct of research studies at DSWD Offices, Centers and Institutions. Since the implementation of this guideline, it has made significant strides in providing technical assistance to researchers, particularly in the processing of research request and conduct of data gathering. In terms of monitoring its implementation, it shows that facilitated researches/studies are constantly increasing from year 2010 to 2016 with an average growth of 18 percent.

With this development and growing interest in research studies in the Department, the above-mentioned guidelines need to be amended to facilitate the processing of research request within the Department as well as in the provision of SWD data/information. This policy will also respond and in compliance to the newly enacted law, i.e. Republic Act No. 11032, "Ease of Doing Business and Efficient Government Service Delivery Act of 2018" which promotes the ease of doing business and efficient delivery of government services.

II. Legal Bases

A. National Policies

1. **Republic Act No. 11032**, "Ease of Doing Business and Efficient Government Service Delivery Act of 2018", promotes the ease of doing business and efficient delivery of government services;
2. **Executive Order No. 2, series of 2016**, "Freedom of Information Order", requires all government offices under the executive branch to make public all official records, data and information requested, with exceptions to the right of access as listed in the memorandum from the Executive Secretary of the Office of the President, dated 24 November 2016;

3. **Republic Act No. 10173**, “Data Privacy Act of 2012”, protects the fundamental human right of privacy, of communication while ensuring free flow of information to promote innovation and growth. It also establishes the State’s inherent obligation to ensure that individual personal information in information and communication systems in the government and the private sector are secured and protected;
4. **Executive Order 15, series of 1998**, “Redirecting the Functions and Operations of DSWD”, mandates the Department to undertake researches and studies and adopt policies to ensure the effective implementation of public and private social welfare and development programs;
5. **Republic Act No. 8293**, “Intellectual Property Code of the Philippines of 1998”, protects and secures the exclusive rights of scientists, inventors, artists and other gifted citizens to their intellectual property and creations, particularly when beneficial to the people; it also promotes the diffusion of knowledge and information for the promotion of national development and progress and the common good.

B. DSWD Issuances

1. **Memorandum Circular No. 9, series of 2017**, “DSWD Freedom of Information (FOI) Agency Manual”, provides the Department’s business process in dealing with requests for information, pursuant to Executive Order No. 2, series of 2016;
2. **Administrative Order No. 7, series of 2015**, “DSWD Child Protection Policy in the Workplace”, further emphasizes the Department’s commitment to ensure protection of children by providing for the courses of action to be adapted by its officials and personnel while carrying out their mandated functions. This includes guidelines on the involvement of children as subjects or respondents in researches;
3. **Administrative Order No. 19, series of 2011**, “Policy Guidelines on the Conduct of Research Studies in DSWD Offices, Centers, and Institutions”, also known as the DSWD Research Protocol, provides guidelines on the conduct of research studies on, or in DSWD Offices and Centers and Institutions, particularly by researchers external to the Department;
4. **Administrative Order No. 4, series of 2007**, “Amendment to Administrative Order No. 10, series of 2006 – provide detailed research protocols
5. **Administrative Order No. 10, series of 2006**, “Policy Guidelines for the Conduct of Studies/Researches in DSWD Offices, Centers and Institutions – provide guidance for students and researchers in accessing DSWD data

III. Objectives

This Guideline shall provide guidance for the Department’s Offices, Bureaus, Services, Field Offices and its Centers and Institutions as well as external researchers and partners

in undertaking research studies concerning the Department. It will also aid the academe, media and general public the processes involved in releasing SWD data/statistics in the DSWD.

Further, it aims to:

1. Provide the standard protocols in conducting research studies in the Department and providing SWD data/statistics.
2. Define the role of the Central Office and Field Offices including external researchers in the processing of research request.
3. Reduce the processing time for approval of research studies conducted by external researchers on DSWD Offices, Centers and Institutions.

IV. Coverage and Applicability

This guideline shall covers and apply to the following individuals/groups:

1. All DSWD Offices, Bureaus, Services, and Units in the Central and Field Offices, including Centers and Institutions tasked to provide data and assist external researchers in the conduct research and studies.
2. External researchers such as students, academe, other government agencies including members of other branches of government, local and international organizations or research institutions, and other independent researchers who intend to conduct research studies related to or involving the Department.
3. Above-mentioned researchers seeking to acquire primary data from the Department including clients/beneficiaries currently at its Centers/Institutions, and on-going DSWD programs, projects and services wherein their main subject of research study involves DSWD as an organization.
4. Academe, media and general public who are not researchers but requesting current and secondary SWD data and statistics from the Department including clients/beneficiaries currently or served and programs, projects and services of the Department.
5. DSWD personnel conducting researches in DSWD Offices, Centers and Institutions, for the purpose of pursuing higher academic education.

V. Definition of Terms

1. **Current Data** –refers to present year either quarterly or semestral, statistical and narrative data that is readily available as public document.
2. **Ethical Standards** – refers to a set of customary and acceptable principles, values, and practices applied for any research involving human participants that should govern the conduct of all research activities in DSWD.

3. **Exit Conference** – refers to meetings conducted by DSWD to discuss initial findings of the researcher/s to serve as venue for validation and clarification of any issue related to the conduct of data-gathering activities.
4. **External Researcher/s** - refers to those individuals, groups or organizations who intend to conduct research in DSWD Centers/Institutions. It also includes those DSWD personnel conducting research for the purpose of pursuing higher academic education.
5. **Primary Data** – refers to data obtained through first hand investigation. These are collected through face-to-face interview, survey questionnaires, focused group discussion, case studies, among others.
6. **Research Conference/Learning Fora**– refers to a venue for the presentation of completed researches and serve as platform for awareness and promotion of the studies.
7. **Research and Evaluation Technical Working Group (R&E-TWG)** – refers to a group of technical persons from different OBSUs of the DSWD Central (National) and Field Offices (Regional) that is responsible for overseeing and providing advisory role to all research and evaluation activities of the Department.
8. **Research Report** – refers to completed studies, in the form of a written document or an audio-visual presentation of the research study's findings based on the conduct of data-gathering activities and recommendations. It shall also include relevant information congruent to the research proposal such as the study's objectives, scope/delimitation, rationale, and related literature.
9. **Research Study** – refers to any original and systematic investigation undertaken in order to increase knowledge and understanding and establish facts and principles. It usually consists of information acquired from research investigation backed up by related literature. Recommendations are crafted from a thorough analysis of the obtained data. Researches that aim to assess DSWD's programs, projects, and policies, based on their accomplishments vis-à-vis its design, is distinctly referred to as an "Evaluation Study".
10. **Research Protocol** – refers to guidelines and procedure adopted by the Department in the review and facilitation of internal and external research requests for primary data.
11. **Secondary Data** – refers to data that has already been consolidated and/or published by DSWD and readily available as public document.

VI. General Policies

All external researchers shall adhere to the following guidelines in the conduct of researches and studies in DSWD Offices, including Centers and Institutions and in the request of data:

1. Requests for the following need not go through the protocol and may be approved and provided by submitting a letter of request addressed to the head of the concerned office, bureau, service or unit:
 - a) Secondary data (statistics, reference materials, etc.) from any of the offices, bureaus, services and units within the Department.
 - b) Observations and/or photo/video/audio shoots at DSWD premises, except those involving DSWD's clients or beneficiaries. If a photo, audio or video of client or beneficiary is essential for the study, researcher shall secure the consent of the Center Head/Client/Beneficiary.
 - c) Briefing/interview/orientation sessions with key focal persons in the Central Office or Field Office on general information about DSWD programs, policies, and projects. The Department however, discourages requests for "practice interviews" of DSWD personnel for the sole purpose of student's acquisition of interview skills, in consideration of the valuable time taken away from the personnel when accommodating student researchers.
 - d) Conduct of surveys with DSWD employees about subject matters that do not directly concern the Department or not related to the Department's program operations.
 - e) Studies conducted by consultants/researchers under the Technical Assistance Facility (TAF) grant portfolio. The researchers, however shall adhere on the policies in undertaking research and evaluation studies as stipulated in the Guidelines for the Conduct of Research and Evaluation in the DSWD.
2. The Department reserves the right to disapprove research requests that do not follow ethical practices in research.
3. All documents or other materials of DSWD and its clients, currently in its centers and institution, shall not be brought out of the DSWD premises without prior approval from the Director/Head of Office and respondents. Case files of clients in centers and institutions shall remain confidential.
4. The official who approved the research request reserves the right to revoke permission to conduct the research activity at any time and to waive any and all the provisions contained in the guidelines when the best interest of the respondents were compromised and in circumstances where DSWD policies have been violated.
5. The researchers must observe proper decorum and comply with office policies during the conduct of their activities.
6. For those surveys requiring to get clearance from Philippine Statistical Authority (PSA), the National Statistical Coordination Board (NSCB) Resolution No. 4-88 or the Clearance of Statistical Survey Forms/Questionnaires, and NSCB Memorandum Circular No.4-95 or the Statistical Survey Review Clearance System shall be observed. All surveys and/or censuses sponsored and/or conducted by government agencies including corporations are covered by the system, regardless of funding source or sample size.

Surveys/Censuses which are sponsored by private agencies and NGOs are not covered by the review process. However, statistical surveys contracted by government agencies to NGOs and private organizations are covered by the system.

7. Data requests received by an office shall be forwarded to the FOI Decision Maker to determine whether a request falls under FOI, Listahanan Data Sharing or Research Protocol. Data requests concerning Pantawid Pamilya Program, Listahanan and other offices shall follow the data sharing protocols set by the said offices and the standard procedure in the DSWD Freedom of Information (FOI) Manual.
8. All external researchers should observe the Child Protection Policy in the Department in conducting researches and studies within or about the Department and its clients and beneficiaries, particularly Article V. Sec. 5 which states, "Ensure that children who are under the Department's programs and services shall not be used as respondents or subjects in research activities unless their participation is the only means to study and understand a phenomenon being researched. Should a child be involved in a research or any form of data gathering, the DSWD shall see to it that utmost care is given to him/her."
9. Interview with clients/beneficiaries in sensitive situations and other vulnerable persons (e.g. VAWC victims, CICL, victims of human trafficking, victims of child abuse, PL-HIV, etc.) shall only be allowed to external researchers if accompanied by the staff handling the case or trained DSWD personnel dealing with the vulnerable sectors. Further, the researcher shall secure the consent of the Client/Beneficiary. In case of minor, consent shall be provided by Center Head. The researchers should submit to a non-disclosure agreement to observe confidentiality of cases in the Centers.
10. The DSWD and its personnel shall not be liable for any personal or material harm that may result from the conduct of the research study or its output.
11. In no instance must the Department or any of its personnel be put in a derogatory situation without giving the Department or its personnel a chance to refute the unfavorable observation.
12. If written documents, audio-visual presentations or oral presentations are produced out of the activity, the author must give attribution and appropriate credit to the DSWD as the source of the data and should be shared with the Department.
13. The researchers shall furnish the approving office (whether Central or Field Office) with a copy of the Final Research Report, digitized copy of research instruments/tools and database, within one (1) month after the conclusion of the research study, as part of their ethical responsibilities to DSWD.
14. With consent from author/s, completed research and evaluation studies may be utilized by the Department through:
 - a. Publication in the Department's SWD journal (both print and online versions)
 - b. Dissemination through DSWD-initiated SWD fora and research colloquia
 - c. Application of findings/recommendations in policy and program decisions
 - d. Other knowledge products e.g. training materials/manuals for capacity building, position papers, policy notes, IEC materials, etc

15. Researchers must uphold the ethical standards in the implementation of research activities in DSWD as stipulated in Section VIII, of DSWD Research and Evaluation Policy. Any violations on the ethical standards and/or acts of misconduct would be sanctioned as deemed appropriate:

1. Withdrawal of permission and/or immediate termination of data gathering activities (if violation transpired during implementation)
2. Retraction of all primary data collected, disallowing its use by the researcher
3. Issuance of an Incident Report informing the Department of the College/University/Organization where the researcher is enrolled or working, of the violations/misconduct committed.
4. Blacklisting of the researcher/s, the concerned Department of the College/University/Organization.
 - ✓ First Offense – researcher/s shall be blacklisted for 2 years; issuance of warning to the Department of the College/University/Organization
 - ✓ Second Offense – researcher shall be blacklisted indefinitely until the Department agreed to lift the sanction imposed
 - ✓ If two or more incidents of violations or misconducts were committed under the same Department of the College/University/Organization, the Department of the College/University/Organization shall also be blacklisted for 2 years.

16. In case of violations of ethical standards or acts of misconduct, the researcher/s shall be notified of the violations committed and the appropriate sanctions to be imposed. The researcher/s may appeal for reconsideration.

17. All media, academe and general public requesting SWD data, statistics and information of the Department as well as DSWD personnel conducting researches in DSWD Offices, Centers and Institutions, for the purpose of pursuing higher education shall adhere to this guideline.

VII. Implementing Procedures

1. All research requests received by Policy Development and Planning Bureau (PDPB/FO-Policy and Plans Division (PPD), other CO Offices, Bureaus, Services and Units covered by this guideline shall be reviewed based on the Checklist for Reviewing Research Request (**Annex A**) within fifteen (15) minutes upon receipt.
2. For request that shall not go through research protocol, an official written request shall be submitted to PDPB/FO-PPD and shall assess the availability of secondary data. If the data is available, the request shall be endorsed to concerned OBs/Unit/Division using the prescribed endorsement (**Annex B**), within fifteen (15) minutes after the review. The concerned OBs/Unit shall provide the requested data within one (1) day if single data, while two (2) days for multiple data. However, if the data/statistics are not available, the researchers shall be informed for other sources of requested data.
3. For request that will undergo research protocol, the PDPB/FO-PDD shall assist the researchers for submission of the following requirements:

- a. **Written request using Research Request Form (Annex C).** This contains the personal data of all proponents involved including their contact numbers, school or organization that the proponent is representing, brief background of the research study, places to be visited, target respondents and tentative dates of visit, and, if applicable, student's year level, course, and subject requiring the research study. The request form includes a Terms and Conditions to be signed by the proponent/s, his/her research adviser (professor or direct supervisor) and either the Chairperson of the Department requiring the conduct of the research study or the Head of the organization or Research Ethics Board (if applicable) that is being represented by the proponent.
 - b. **Research Brief (Annex D) and Research Instruments.** This contains a brief background of the study, general and specific objectives, methodology, project time table, expected outputs and budget (if applicable).
4. The above-mentioned required documents must be submitted to the following:
- a. Regional Director – For thesis and research studies in the Undergraduate and Graduate Level (Post Baccalaureate Program, Master's Degree, Doctorate); local and international organizations or research institutions; other government agencies covering one region, at least two (2) weeks before the projected start of the data gathering activity.
 - b. PDPB Director - – For thesis and research studies in the Undergraduate and Graduate Level (Post Baccalaureate Program, Master's Degree, Doctorate); local and international organizations or research institutions; other government agencies whose target respondents involve more than one region, at least one (1) month before the projected start of data gathering activity.
5. The PDPB/FO-PPD in coordination with concerned OBs/FO untis shall review and assess the research request/study in terms of its relevance to the Department's mandate using Annex C and D within (5) days upon receipt.
6. In case of clarifications/concerns on the research request, the PDPB/FO-PPD shall coordinate with the researcher. Two (2) days will be given to researchers to respond. Otherwise, recommendations shall be prepared for endorsement to the PDPB Director/Regional Director, whichever is applicable using the sample recommendations template (**Annex E**) within one (1) day upon receipt of complete and revised/final research tools. Approval shall be within two (2) days upon receipt. Once research requests have been approved, the PDPB/FO-PDD shall inform the researcher within one (1) day upon receipt of the approval.
7. For the Central Office, the PDPB shall endorse the approved requests to the concerned Regional Directors within one (1) day. The Field Office - PPD shall, in turn, coordinate with the appropriate Centers/Institutions or Units within the Field Office within one (1) day upon receipt of the approval.
8. For requests that were not recommended for approval, the research proponents may seek advice from the PDPB at the Central Office or from PPD at the Field Office,

whichever is applicable, for reconsideration.

9. All concerned Offices, Bureaus, Services and Units both at the Central and Field Offices shall submit feedback reports to PDPB or FO-PPD, one (1) week after the conduct of data-gathering activities in their office for PDPB and PPD monitoring.
10. Graduate students and researchers from the academe, other government agencies, local and international organizations or research institutions, shall conduct an exit conference at the approving office or the Field Office where the research request was endorsed to, two (2) weeks after the completion of data-gathering activities. The exit conference is to be participated in by the researcher/s and other DSWD staff involved in the conduct of data-gathering activities and/or respondents. A template for follow-up of completion requirements shall be used. (**Annex F**)
11. Researchers who are unable to conduct an exit conference due to scheduling/logistical/geographical constraints may submit a feedback report to the approving office in lieu of the said activity two (2) weeks after completion of data gathering activities. Feedback report shall contain the data gathering activities, analysis of data, initial findings and recommendations.
12. For foreign/international and undergraduate researchers, instead of an exit conference, they shall only be required to submit to the approving office the findings two (2) weeks after completion of data gathering activities.
13. Both electronic and hard copies of either preliminary or final research and evaluation report or Manuscript must be submitted to the approving office, within one (1) month after the conclusion of the research and evaluation study, for the Department's reference. Digitized copies of research instruments/tools and database shall likewise be submitted.
14. Researchers who complied with the requirements shall be issued a Certificate of Completion by the approving office using the prescribed format (**Annex G**). The researchers who have been issued Certificate of Completion maybe invited to present and share the result of their studies through fora or publication.
15. In case of violations of ethical standards or acts of misconduct, the approving office (PDPB/Field Office-PPD) shall issue a letter of concern to the researcher/s, notifying them of the violations committed and the appropriate sanctions to be imposed using a pro-forma letter to the researcher (**Annex H**) within five (5) working days after the conduct of data gathering.
16. The researcher/s may appeal for reconsideration to the approving office and shall be given ten (10) working days to respond. Failure to respond to the letter of concern within the ten (10) days prescribed period would entail immediate effectivity of the sanctions applied.
17. The PDPB and FO-PPD shall maintain a database of the studies conducted by external researchers covered by this guideline through an annual inventory of external researches and studies facilitated. The inventory shall be submitted to PDPB on an annual basis every 30th day of January, using the prescribed template (**Annex I**).

18. The researcher/s or data users shall be requested to fill up the feedback form to be provided by PDPB/FO-PPD for the purpose of monitoring the implementation of the research protocol (**Annex J**). For the request that shall not undergo research protocol, the feedback form shall be accomplished after the request has been provided while for the request that shall undergo research protocol, it will be accomplished after the processing of the request.

VIII. Institutional Arrangements

1. **The Policy Development & Planning Bureau** take the lead role in the implementation of this guideline at the Central Office and carry out the following tasks:
 - a. Review and assess the research request if the request shall require secondary data or shall undergo the research protocol.
 - b. Provide the needed data/information if the data are available within the PDPB. If not, endorse the request to the concerned OBSUs, Attached Agencies and Field Offices
 - c. For the request that will undergo the research protocol, review and assess the research request in consultation with the concerned OBSUs and Field Offices
 - d. Prepare the recommendation for the National R&E-TWG
 - e. Coordinate with the researcher in cases where relevant revisions need to be made and/or when the research request has been approved
 - f. Prepare endorsements on approved research activities to the appropriate Field Office or Office/Bureau/Service/Unit within the Central Office, as well as the Attached Agencies, and coordinate closely with them for updates or feedbacks
 - g. Coordinate with the researcher on the approval or disapproval of his/her research study
 - h. Arrange for an exit conference with the researcher and other involved DSWD staff after the data gathering have been conducted.
 - i. Coordinate with the researcher for the submission of the final research report
 - j. Issue a Certificate of Completion to researchers who complied with the completion requirements
 - k. Prepare letters of communication to researchers and/or Departments of the College/University/Organization requiring the conduct of the research study to report any violations or blacklisting
 - l. Provide necessary technical assistance to the researcher
 - m. Prepare a consolidated inventory of researches and studies conducted by external researchers
2. **Other Offices/Bureaus/Services/Units** shall partake in the processes identified in this policy, and in particular, it shall:
 - a. Forward all research requests received by their office covered by these guidelines to the PDPB
 - b. Facilitate requests that need not go through these guidelines
 - c. Assist the PDPB in assessing the research request in terms of feasibility of its conduct in DSWD and ethical standards
 - d. Submit feedback reports to the PDPB after the conduct of data-gathering activities in their office for the latter's proper monitoring
 - e. Participate in exit conferences where their office was involved in the conduct of data-gathering activities

- f. If the study is conducted in one (1) Office/Bureau/Service/Unit, arrange for an exit conference with the researcher and other involved DSWD staff after the data gathering have been conducted
- g. Conduct regular R & E TWG meeting for review and assessment of submitted research proposals

3. The Field Office - Policy & Plans Division through the Policy Development and Planning Section shall take the lead role in the implementation of this guideline at the Field Office and shall carry out the following tasks:

- a. Review and assess the research request if the request shall require secondary data or shall undergo the research protocol.
- b. Provide the needed data/information if the data are available within the PPD. If not, endorse the request to the concerned FO Units, Centers/Institutions
- c. For the request that will undergo the research protocol, review and assess the research request in consultation with the FO Units and Centers/Institutions
- d. Prepare endorsement to Regional R&E - TWG
- e. Coordinate with the researcher(s) in cases where relevant revisions need to be made
- f. Prepare the recommendation once the revised documents are submitted for the Regional Director's approval
- g. Coordinate with the researcher(s) when the request has been approved or disapproved
- h. Prepare endorsements on approved research activities to the appropriate Centers/Institutions or units within the Field Office and coordinate closely with them for updates and feedbacks
- i. Submit feedback reports to the PDPB as the need arises for the latter's proper monitoring
- j. Participate in the exit conference with the researcher and other involved DSWD staff after the data gathering have been conducted
- k. Coordinate with the researcher for the submission of the final research report.
- l. Issue a Certificate of Completion to researchers who complied with the completion requirements
- m. Prepare letters of communication to researchers and/or Departments of the College/University/Organization requiring the conduct of the research study, to report any violations or blacklisting
- n. Forward a copy of completed research reports to concerned Centers/Institutions for their reference and electronic copies to the Policy Development and Planning Bureau at the Central Office
- o. May create a mechanism such as Desk and Technical Review Panels under the RD-TWG to strengthen the review of research proposals; and
- p. Provide necessary technical assistance to the researcher
- q. Prepare an inventory of researches and studies conducted by external researchers for submission to PDPB

4. Sections/units within the Field Office, including Centers and Institutions, shall:

- a. Forward all research requests received by their office covered by this guideline to the Planning Unit
- b. Assist the researcher in matters related to the conduct of data-gathering activities with their staff or with their project beneficiary/ies.
- c. Submit feedback reports to the Field Office – PPD-PDPS after the conduct of data-gathering activities in their office or with their project beneficiaries for the latter's proper monitoring.

- d. Participate in exit conferences where their office was involved in the conduct of data-gathering activities.
- e. Provide the needed data, inputs to student's research proposals

IX. Compliance to RA 11032

Pertinent provisions of RA 11032, "Ease of Doing Business and Efficient Government Service Delivery Act of 2018", were considered in the revision of this guideline by reducing the processing time of the approval of the conduct of research in the Department and in the provision of SWD data and information.

X. Repealing Clause

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

XI. Effectivity

This Memorandum Circular shall take effect immediately.

Issued in Quezon City this 15th day of 2019.


ROLANDO JOSELITO BAUTISTA
Secretary
Department of Social Welfare and Development

Annexes:

Forms and Template

- Annex A- Research Checklist
- Annex B – Template for Endorsement to OBS, Units and other Offices
- Annex C – Research Request Form
- Annex D – Research Brief
- Annex E - Sample Recommendation to the PDPB Director/Regional Director
- Annex F - Sample of Follow-up for Completion Requirements
- Annex G - Certificate of Completion Template
- Annex H – Pro-forma letter of Concern to Researchers
- Annex I – Inventory of Researches and Studies Conducted by External Researchers
- Annex J - Feedback Form for Research Protocol
- Annex K - Process Flow for Research Request

Certify True Copy:


MYRNA H. REYES
DIC-Division Chief
Records and Archives Mgt. Division

Annex A

Research Checklist

Name of Researcher : _____ Date of Request: _____
School/Organization : _____

Type of Request: *(Please check whatever is applicable)*

1. Primary Data:

- 1.1. Key Informant Interview with DSWD Official/s
 - 1.1.1. DSWD programs, projects, and policies
 - 1.1.2. Other social welfare and development (SWD) concerns
 - 1.1.3. Others: _____
- 1.2. Survey with DSWD Staff
- 1.3. Interview with DSWD Centers/Institutions
- 1.4. Interview with DSWD Clients and Beneficiaries
- 1.5. Photo/Video/Observation of DSWD centers, institutions, offices
- 1.6. Others: _____

2. Secondary Data:

- 2.1. Pantawid Pamilya Data
- 2.2. Listahanan Data
- 2.3. Other DSWD Statistics
- 2.4. Non-sector/Program/Project-related Statistics
- 2.5. DSWD Guidelines and Policies
- 2.6. Others: _____

Recommendation: *(Please check whatever is applicable)*

- Shall undergo DSWD Research Protocol
- For endorsement to other Bureaus/Offices _____
- For endorsement to Field Office _____
- Other Recommendations:

Name and Signature of Receiving Officer (PDPB/FO-PPD): _____
Date Received: _____

Annex B

ENDORSEMENT

Date: _____

F O R: _____

OFFICE: _____

The attached research request has been reviewed by the Policy Development and Planning Bureau (PDPB)/Policy and Plans Division.

As per Memorandum Circular No. ___, series of 2019, the attached request shall not need to go through the research protocol and may be approved and provided by submitting a letter of request addressed to the head of the concerned Office, Bureau, Service or Unit:

- Secondary Data (Statistics, reference materials, etc) except for case files of DSWD clients
- Observations and/or photo/video/audio shoots at DSWD premises
- Conduct of surveys/interviews with DSWD employees about subject matters that do not directly concern the Department or not related to the Department's operations
- Briefing/Orientation sessions by key focal persons in the Central and Field Offices
- Studies conducted by consultant/researchers under TAF grant portfolio

Request reviewed by:

Name/Signature

Department of Social Welfare and Development
Annex C
Research Request Form

Full Name (Last, Given, Middle)	Occupation	School/Organization
Home Address	Telephone	Fax
	Email	
Office/School Address	Telephone	Fax
	If Student:	
	Course and Year Level	Subject and Department Requiring Conduct of Study
BACKGROUND OF THE RESEARCH PROJECT		
Title of Research		
Brief Description of the Study		
Target Respondents		
Methods and Instruments of the Research Study		
Place/s to be Visited	Date of Visit	Time of Visit
We have read the TERMS AND CONDITIONS printed at the back of this Form as set in Memorandum Circular No. __, series of 2018, and hereby agree and guarantee compliance thereof.		
_____ Printed Name and Signature Researcher		_____ Printed Name and Signature Adviser/Supervisor of Researcher
_____ Printed Name and Signature Department Chairperson/Head of Organization/Head of Research Ethics Board		
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved		_____ Printed Name and Signature Director of PDPB/Regional Director

TERMS AND CONDITIONS

Hereunder are the terms and conditions to be agreed upon and complied with by external researchers who intend to conduct studies/researches in the DSWD Offices, Centers and Institutions:

A. Prior to the Conduct of the Study

1. To submit a **formal request** to the Director of Policy Development and Planning Bureau at the DSWD Central Office or to the Regional Director at the DSWD Field Office with an endorsement from the research adviser, supporting the same request;
2. To fill out the **Research Request Form (Annex C)** with these terms and conditions printed at the backside);
3. To submit a **Research Brief (See Annex D)** detailing the background of the study, general and specific objectives, methodology, project time table, expected outputs and budget (if applicable) and;
4. To submit copies of the **research instruments** e.g. survey or interview questionnaires, observation or test guides, etc.

The documents indicated above will be used in the review/assessment of the research study and its significance, before it can be recommended for approval by the Director of Policy Development and Planning Bureau using the criteria set.

B. During the Conduct of the Study using Relevant Data-Gathering Methods/Procedures

1. To uphold ethical standards in research such as respecting the rights of all persons involved (*i.e.* respondents or samples of the research study), and obtaining informed consent/assent as appropriate;
2. To observe proper decorum and comply with the policies of the office, center or institution where the study is being conducted;
3. To ask permission from the head of office, center or institution before reading-through, borrowing or bringing out documents or other materials; and
4. To take full responsibility for any personal or material harm or loss resulting from the conduct of the study while within DSWD premises.

The Director of Policy Development and Planning Bureau/Regional Director reserves the right to revoke permission to conduct the research study at any time and to waive any or all the provisions set in MC. No. ___ when need arises.

C. After the Conduct of the Study and Upon Completion of its Manuscript

1. To avert from putting the Department or its personnel in any derogatory situation without affording the chance to refute any unfavorable observation;
2. To give attribution or appropriate credit to the DSWD as the source of the data if written documents, audio visual or oral presentations are produced;
3. To participate in an exit conference arranged by DSWD to discuss initial findings from the conduct of data-gathering activities as required; and
4. To submit the research report (printed and electronic copy) consisting of information on the data generated, data analysis, findings or conclusion and recommendations within one month after the conclusion of the study.

I/We hereby agree to all the aforesaid terms and conditions and guarantee compliance thereof, otherwise, the College/University/Agency/Organization requiring the research project wherein I am/we are connected shall be blacklisted. Moreover, with my/our approval, the DSWD shall publish the results of my study in its official journal - the Social Welfare and Development Journal and its possible dissemination through DSWD SWD fora.

Printed Name & Signature of Researcher/s

Printed Name & Signature of Researcher's
Adviser/Supervisor

Printed Name & Signature of Department Chairperson /
Head of Organization/Head of Research Ethics Board

Annex D

RESEARCH BRIEF (with fill-up instructions)

Title/Topic of Research Project	Complete title /topic of the research study
Proponent/s	Names of proponent or collaborators and the agency/agencies they belong to
Background of the Study	Provide a brief background description, with emphasis on the need and justification for the conduct of the study
General Objective/s	State the main objective of the study
Specific Objectives	State the specific objectives of the study
Methodology	Describe the sampling and recruitment method, sample size, research design and target respondents
Data/Materials to be Requested from DSWD	e.g. IEC or Briefing Materials, Official Documents, Research Studies, Beneficiary/Clientele Data, Interviews/Survey, etc.
Target Areas/Sites	Specify cities/municipalities/barangays covered by the study
Research Output	State the expected outputs of the research
Ethical Considerations/Guidelines Employed	Explain how researchers ensure the observance of ethical standards/principles throughout the conduct of their research in the Department
Project Timeline (Researchers may use a Gantt Chart to show project timeline)	Show timeline of data gathering activities to reporting
Budget & Fund Source (if applicable)	Specify total amount or budget for the conduct of the study and fund source (applicable to external researchers from other Organizations/Agencies/Institutions)

Annex E

SAMPLE RECOMMENDATION TO THE PDPB DIRECTOR/REGIONAL DIRECTOR



**DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT
PDPB/POLICY AND PLANS DIVISION**

**MEMORANDUM FOR THE PDPB
/REGIONAL DIRECTOR**

File/Ref.
No.

Date :

FROM

The Division Chief
Policy and Research Division/PPD

SUBJECT

Approval of the Research Proposal entitled **“A Crisis within a Crisis’: Case Study of DSWD’s corporate crisis communication during and after Typhoon Haiyan”**

We are respectfully transmitting herewith for the PDPB//Regional Director approval the attached research proposal of Ms. Janice A. Apilado who is requesting for the conduct of data gathering at the DSWD Central Office/Regional Office via Key Informant Interview of selected DSWD Officials.

The Policy and Research Division /PPU has reviewed the said proposal and found it complying with the requirements set by Memorandum Circular (MC) No. __ (Series of 2018).

Hereunder are the relevant information and recommendation on the said request for the PDPB/Regional Director’s reference:

Proponent/s	Janice Aquino Apilado
Institution	University of the Arts London (London College of Communication)
Title of the Study	“A Crisis within a Crisis”: Case Study of DSWD’s corporate crisis communication during and after Typhoon Haiyan
General and Specific Objectives	<p>This study seeks to determine and explore the crisis management and crisis communication process of Department of Social Welfare and Development (DSWD), which may yield vital basis for the pertinent research objectives:</p> <ol style="list-style-type: none"> 1. To determine the types of crisis response strategies organized and implemented by DSWD after Typhoon Haiyan 2. To identify perception of DSWD’s stakeholders on the employed crisis response strategies 3. To examine Situational Crisis Communication Theory’s (SCCT) applicability to DSWD’s crisis management process
Methodology	<p>The research will take a case study approach (qualitative method); it will apply an in-depth investigation of DWSD’s crisis response strategies as well as the stakeholders’ perception in a specific crisis situation (Typhoon Haiyan).</p> <p>The research used purposive sampling. Three (3) officials of DSWD are identified as the first set of sample:</p> <ul style="list-style-type: none"> • Dir. Cezario Joel C Espejo of the Social Marketing Service • Dir. Ma. Teresa O. Briones of the Disaster Response and Mitigation Bureau

	<ul style="list-style-type: none"> • Dir. Thelsa S. Biolena of STB as the former Director of DREaMB <p>The second set of samples will be from DSWD's stakeholders/receivers of crisis response strategies such as representative of the Media, Typhoon Haiyan survivors and International NGOs.</p> <p>The researcher has a semi-structured interview guide for the two set of samples involving a series of open ended questions based on the topic in order to provide opportunity to discuss the subject in more detail. The study has a few salient areas that needs to be addressed such as the pre-crisis planning, post crisis implementation, effectiveness of crisis response strategies.</p>
Data/Materials to be Requested from DSWD	The data collection involves interviews of the respondents from DSWD and its stakeholders, gathering of relevant materials (press releases, news articles, public information materials, crisis communication plan, if available) and review of relevant literature.
Target Areas/Sites	DSWD Central Office

Recommendation:

The study serves as a review of the crisis communication and management of the DSWD as seen during the Typhoon Haiyan. The findings of the study will provide insights on both the good and bad practices committed by the Department during the Typhoon, from the viewpoint of not only the researcher's but also from the DSWD's stakeholders. The study will also be able to suggest possible crisis management and communication strategies for the Department's consideration should the SCCT be found applicable to the DSWD situation.

Further, considering that Ms. Apilado complied with the research protocol requirements set by the Department, may we recommend approval of this request to conduct the KIIs with the officials identified offices.

For the PDPB/Regional Directors' consideration.

Division Chief of Policy & Research Division/PPD

Enclosed A/s:

Annex F

FOLLOW UP OF COMPLETION REQUIREMENTS

Date

(Name)

(Designation/Position)

Address

Dear Sir/Madam:

We are writing to follow up on the results of the data gathering activities you/your group conducted at/with _____, in connection with your research project entitled, "(title of research study)".

As stated in DSWD's Memorandum Circular No. __, Series of 2019, students and other external researchers who conducted studies in our offices, centers and institutions must hold an exit conference with the respondents/concerned staff from DSWD. Furthermore, researchers must submit to DSWD, both printed and electronic copies of the Research Report/Manuscript within one (1) month after completion of the study.

In case you/your group cannot conduct an exit conference at the DSWD due to logistical and scheduling issues, you/your group may opt to submit a Feedback Report in lieu of the exit conference. The Feedback Report consists of the following information:

- Data gathering activities conducted
- Analysis of Data
- Findings
- Recommendations

Kindly submit the Research/Feedback Report to the DSWD Field Office/Central Office located at _____. To arrange an exit conference and for other queries, please contact our research focal, Mr./Ms. _____.

You/your group's prompt action on the matter will be most appreciated.

Very truly yours,

PDPB/Regional Director

Enclosure

Annex G



Republic of the Philippines
Department of Social Welfare and Development

Certificate of Completion

This is to certify that

has completed all the requirements for the conduct of research entitled:

Given this ___ day of _____ in the year of our Lord Two Thousand and Eighteen
at _____

PDPB Director/
DSWD Regional Office _

Annex H

PRO FORMA LETTER OF CONCERN TO RESEARCHER

Date

Name of Researcher

Position/Designation (if applicable)

Address

Dear Sir/Madam:

We are writing to you in connection with the implementation of the Department's policy on the conduct of research and studies in the Department, which was issued in 2019.

It has been emphasized in this policy that *"Researchers must uphold the ethical standards in the implementation of research activities and evaluation studies in DSWD and that "any violations of the (abovementioned) ethical standards and/or acts of misconduct would be sanctioned as deemed appropriate"*.

In date/time of data gathering, you/your group, were granted consent to conduct your research at DSWD (indicate the Center/Institution/Office). However, it has come to our attention that (indicate offense/misconduct).

Hence, we regret to inform you that the said violations would entail (specify sanction imposed). Unless a response or formal appeal for reconsideration is sent to us within ten (10) days upon receipt of this letter, these sanctions shall be take effect immediately.

Thank you.

Very truly yours,

PDPB/Regional Director

INVENTORY OF RESEARCHES AND STUDIES CONDUCTED BY EXTERNAL RESEARCHERS

Field Office: _____

Year: _____

NO.	TITLE OF RESEARCH/STUDY	STATUS	TYPE OF RESEARCHER	OBJECTIVE	PROPONENTS	SCHOOL / ORGANIZATION	COURSE	SECTOR	PLACE OF RESEARCH/ EVALUATION STUDY	DATE OF APPROVAL	DATES OF DATA GATHERING ACTIVITIES	EXPECTED DATE OF COMPLETION	FOR COMPLETED RESEARCHES AND STUDIES			REMARKS
													SUMMARY OF SIGNIFICANT FINDINGS / RESULTS	RECOMMENDATIONS	DATE OF COMPLETION	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																

Prepared by: _____

Noted by: _____

Name and signature of Focal Staff_____
Designation_____
Name and Signature of Regional Director_____
Date**INSTRUCTIONS:**

- Use the Excel file of the research inventory for easy collation of inventories.
 - Each cell of the inventory has instructions when you click on the cell you want to fill out.
- Field Office: Choose from the list.
Year: Choose from the list.
- Column 1 - TITLE OF RESEARCH/EVALUATION STUDY: Input the title of the research/evaluation study.
Column 2 - STATUS: Choose from the list whether the research/evaluation study is approved and undertaken or already completed.
Column 3 - TYPE: Choose from the list the type of the researcher
Column 4 - OBJECTIVES: Input the general objective of the research/evaluation study.
Column 5 - PROPONENTS: Input the names of the proponents of the research/evaluation study.
Column 6 - SCHOOL / ORGANIZATION: Input the school/organization of the proponents of the research/evaluation study.
Column 7 - COURSE: If student input the course.
Column 8 - SECTOR: Choose from the list the focused sector of the research/evaluation study.
Column 9- PLACE OF RESEARCH/EVALUATION STUDY: Input specific place where the research/evaluation study will be/was conducted.
Column 10 - DATE OF APPROVAL ON RESEARCH/EVALUATION STUDY: Input date of the approval of the research/evaluation study. Follow the format: mm/dd/yyyy
Column 11 - DATES OF DATA GATHERING ACTIVITIES: Input dates of data gathering of the research/evaluation study. Follow the format: mm/dd/yyyy
Column 12 - EXPECTED DATE OF COMPLETION: Input date of expected completion of the research/evaluation study. Follow the format: mm/dd/yyyy
Column 13 - SUMMARY OF SIGNIFICANT FINDINGS / RESULTS: Input summary of significant findings and results of the research/evaluation study.
Column 14 - RECOMMENDATIONS: Input recommendations of the research/evaluation study.
Column 15 - DATE OF COMPLETION: Input date of completion of the research/evaluation study. Follow the format: mm/dd/yyyy
Column 16 - REMARKS: Input remarks or other notes.

Annex J

RESEARCHER'S FEEDBACK FORM

Thank you for visiting the Department of Social Welfare and Development. Your feedback is important to us. By answering the following information/questions, you will help us to serve you better.

Name of Researcher: _____ Date/Time of Visit: _____

School/Organization: _____

Under Research Protocol: YES No

Please tick the appropriate box:

1	How long did it take for us to respond your request?	<input type="checkbox"/> < 5 minutes <input type="checkbox"/> 5 – 10 minutes <input type="checkbox"/> 11-15 minutes
2	In case of referred requests, how long did it take for other OBs, Units respond to your request?	<input type="checkbox"/> Within 1 day <input type="checkbox"/> Within 2 days <input type="checkbox"/> More than 3 days
3	For the request that shall undergo research protocol, were you provided orientation on the guideline and assisted in the submission of requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	For the request that shall undergo research protocol, how long did it take for us to process your request?	<input type="checkbox"/> Within 5 days <input type="checkbox"/> Within 6-7 days <input type="checkbox"/> More than 8 days
5	Please provide rating in terms of service delivery: Friendliness Efficiency Knowledge on the nature of request	<input type="checkbox"/> Good <input type="checkbox"/> Aver. <input type="checkbox"/> Poor <input type="checkbox"/> Good <input type="checkbox"/> Aver. <input type="checkbox"/> Poor <input type="checkbox"/> Good <input type="checkbox"/> Aver. <input type="checkbox"/> Poor

Any feedback or suggestions:

Thank you.

Process Flow for Research Request

ANNEX K

