

REGULATORY SIMPLIFICATION

for business permitting and licensing

REGULATORY
SIMPLIFICATION
FOR BUSINESS PERMITTING
AND LICENSING

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for business permitting and licensing

COACHES' MANUAL

REGULATORY SIMPLIFICATION for business permitting and licensing COACHES' MANUAL

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1605 Philippines

Tel Nos. (632) 634-6567 / 634-1883

www.lga.gov.ph

Message



In the pursuit of socio-economic progress and improvement in our overall human development conditions, the Philippines is well on its way to a sustainable growth and continuous recovery. Proof to this, is our ascendance of several notches in the Global Competitiveness Index and constantly receiving good ratings regarding our credit worthiness. Likewise, we were described as one of the most dynamic and rapidly improving economies in terms of competitiveness. All these can be partly attributed to what we are doing at the national and local government levels. In terms of ease of doing business, we have already simplified our regulatory process. We have instituted reforms in business permitting and licensing by reducing the procedural steps and the number of signatories. This was complemented by automation of business transactions to keep up with the market demands particularly in terms of quality and speed of service. The national government has pushed extensively for the improvement of the business climate in the country with various interventions, both in terms of institutional and infrastructural capacities.

On the other hand, we still have a long way to go if compared with our neighbors in the region. A lot of efforts are still to be done to eliminate the remnants of the traditional system and culture. It is still normal to see long queues, vague protocols, unenforced policies, corruption, and favoritism among others. Thus, the introduction of the regulatory simplification program is a timely step in the right direction to further eradicate the bad practices that still exist. Its enforcement is a must to move the country forward and be globally competitive to be at par with other countries in sustaining a friendly business environment.

We are fortunate that the Department of the Interior and Local Government (DILG), through the Local Government Academy (LGA), is being aided in this regard by the International Finance Corporation (IFC) with support from the Government of Canada. With the experiences and lessons brought about by this collaboration over the years, this *Coaches Manual for Regulatory Simplification for Business Permitting and Licensing* is presented to the local governments, DILG Personnel, and the general public. This is part of the ongoing strive for distinction in public service that the business establishments (both local and international) and the general public truly deserve.

With great hopes, we will continue to shape the local governments to adapt effective strategies and mechanisms that are applicable to their needs. An efficient business environment translates to more robust economic growth and eventually, sustainable development. This manual is not made only to be read, but to be applied with great zeal.

Our efficiency shall reap rewards for tomorrow's prosperity and a lifelong quest for excellence.



MARIVEL C. SACENDONCILLO, CESO III

Executive Director

Local Government Academy

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Introduction

Regulatory simplification is the process of making a business process simple and efficient by reducing or removing specific elements and keeping only the essential steps in the process. At the same time, it helps the LGU uphold its mandate of protecting public health, safety, and welfare.

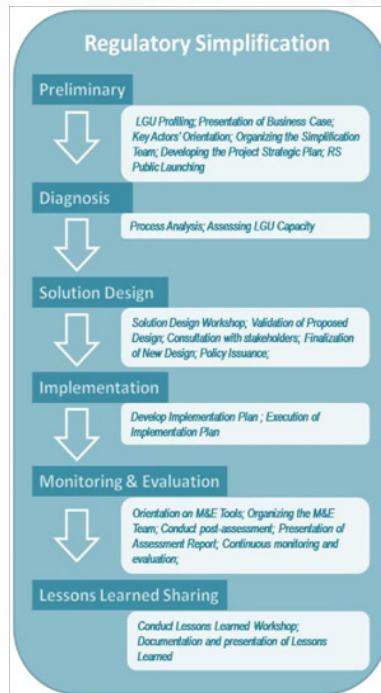
Regulation simplification enhances the business climate. It helps cities and municipalities become more business-friendly, attract more investments, generate much needed revenues, and create more jobs for people.

This manual captures field experience in implementing regulatory simplification in business permitting and licensing in pilot cities in the Philippines beginning 2009 through 2013. These cities are Quezon City, Manila, Mandaluyong, Marikina, Tuguegarao, Puerto Princesa, and Pasig.

It is a guide for coaches of the Department of the Interior and Local Government as they help local government units, specifically cities, in streamlining processes.

The information is organized in phases: preliminary, diagnosis, design, implementation, monitoring and evaluation, and sharing lessons learned.

With some customization, this manual can also be used by coaches in guiding local government in simplifying other regulatory processes such as construction permitting, issuance of tax clearances, and other frontline services.



This manual is a project of the Department of the Interior and Local Government and its Local Government Academy, and the International Finance Corporation, with the support of the Government of Canada.

December 2013.

Role of the Coach

The coach has knowledge and experience in business permitting and licensing in local government. He either completed the Regulatory Simplification coaches' training conducted by the Local Government Academy, or has knowledge and experience in regulatory simplification that qualifies him to coach an LGU on the process.

He leads and guides the LGU in implementing regulatory simplification. On the ground, he provides leadership and technical support to the project teams of the LGU. He is able to interact and relate well with key officials and leaders in local government.

He is nominated by the regional director of the Department of the Interior and Local Government from among the regional office staff. His assignment as coach is supported by a special order or office memorandum signed by the regional director. He is deployed to the LGUs in the region that signified intent to implement regulatory simplification.

Tasks at each phase of the simplification process

A regulatory simplification project takes an average of six to nine months. However, the coach does not work fulltime on the project for the entire period. Most of the tasks are undertaken by the project teams. His role is to mentor and monitor the project teams as they perform their respective tasks and provide technical support as needed.

Preliminary phase: 1 week

The coach gets the support and commitment of the LGU to implement regulatory simplification. He explains to the LGU, and specifically to the mayor, the importance of initiating reforms in the regulatory process.

To formalize the commitment of the LGU, it signs a memorandum of agreement with the regional office of the Department of the Interior and Local Government, and the Local Government Academy.

The coach facilitates the forging of this agreement. He is also responsible for assisting the LGU in forming the Simplification Management Team and Simplification Project Team.

The coach works closely with the LGU in planning and implementing the activities related to the project, including ensuring the active involvement of the business sector. Together with the Local Government Academy, the coach and the LGU agree on the specific arrangements for project implementation, including administrative and logistical concerns.

Diagnosis phase: 1 month

The coach leads the simplification project team in the diagnostic studies. He ensures that the team works with key stakeholders, especially the business sector. He uses consultations, focus group discussions, and other forums to understand the current procedures, determine the number of steps, amount of time spent, and cost required to get a business permit.

Once the diagnostic studies are completed, he assists the project teams in sharing the findings with stakeholders, which include the Local Government Academy, the LGU, the business sector, and other groups. He helps the stakeholders arrive at a common understanding of issues and a shared desire to improve the system. He also helps the stakeholders agree on specific objectives and targets for an improved system.

Design phase: 1.5 months

The coach advises the simplification teams about the procedures and costs that can be streamlined or simplified, given the requirements of applicable laws and policies. He proposes various ways to change a process—also called process re-engineering models—to make business permit application faster and more efficient.

He guides the teams in writing a recommendation report, which may include topics such as reorganization of functions, process improvement, and information technology solutions. He also helps them make an implementation plan.

The coach ensures that the LGU coordinates with relevant government agencies such as the National Competitiveness Council and the Philippines Business Registry. His objective is to help integrate the improved processes at the local government level with the company registration systems implemented at the national level.

Finally, he adapts the monitoring and evaluation system for business permitting and licensing to the context of the LGU.

Implementation phase: 1.5 months

The coach assists the LGU and the Local Government Academy in implementing the reform.

The coach gives technical input in drafting policies, creating regulatory simplification manuals and forms, and determining the functionalities of the software to be used for the simplified process.

He refers to the implementation plan and the manual as he gives on-the-job training on the new and improved procedures.

He works with local government officials to monitor improvements in the local government's business permitting and licensing system. For example, in terms of reduction in procedures or steps, time and cost; increase in the number of new business permits issued and compliance cost saved; and revenues from registration fees. He documents these improvements using the monitoring and evaluation system for business permitting and licensing.

Monitoring and evaluation phase: 3 months after implementation

This phase begins at least three months after the implementation of regulatory simplification. The initial post-implementation assessment is followed by monitoring and evaluation according to the monitoring and evaluation system of the Local Government Academy.

The coach trains the project teams on the use of various monitoring and evaluation tools. He guides them in using those tools in tracking and measuring progress. He also guides them in preparing and presenting the project assessment report, and the lessons learned. This information is shared by the teams with the Department of the Interior and Local Government and the Local Government Academy.

Where to go for help

For guidance and technical advice, the coach can contact the help desk of the Department of the Interior-Local Government Academy-Business Permitting and Licensing System.

He can also get in touch with the Local Government Academy's education and training division. The Academy has an online forum for coaches where they can communicate, share experiences, and give updates.

For contact information, go to lga.gov.ph.

Chapter 1: Preliminary Phase

The preparations for regulatory simplification are crucial to the success of the reform initiative. They provide key information that is useful for the LGU, the implementors, clients and stakeholders.

Role of the coach. You are the lead researcher. You look for the information needed to make the business case that will explain why the local government would want to implement regulatory simplification.

Tips. Determine what data and information to collect, where to find them, and how to utilize them. They will be used to make the argument that will help persuade the local government to implement regulatory simplification. Check whether becoming business-friendly is an objective of the LGU. Highlight this point. Find out what makes it difficult for the local government to achieve this objective, for example, a complex business permitting and licensing system, or high cost of doing business in the LGU. Point out these issues and establish why regulatory simplification could be one approach to address them.

1. Understand the LGU's governance context

Understand the LGU's context, priorities, and development thrusts. LGUs have different development goals. Some prioritize environmental protection; others, social development. Some are keen on housing and livelihood for the poor. Their priorities and context influence the way they implement policies. Under the Local Government Code, LGUs can pass ordinances defining their approaches in implementing national laws, provided they comply with the minimum standards, for example, those set by the National Building Code and the Fire Code of the Philippines.

LGUs also pass local laws such as the city revenue code, which governs business permitting and licensing. This autonomy to enact laws enables them to meet their development objectives and serve their constituents. For example, Puerto Princesa, with its focus on environment protection, simplified its business permitting and licensing process by categorizing businesses according to environmental risks.

2. Gather data about the LGU's business permit system

Get information about the LGU's business permitting and licensing covering the last three fiscal years. This will help you analyze historical trends and develop a baseline for performance and change over time.

- Number of new businesses registered each year. Is it increasing or decreasing? If so, by what percentage?
- Types of businesses registered. You may want to classify them according to nature of business: manufacturing, food and beverage, retailing, and other categories. According to the amount of capitalization: micro, small, medium, large. According to the type of ownership: single proprietorship, corporation, or cooperative, local or outside the LGU, domestic or foreign.
- Revenue generated from new businesses every year. Is it increasing or decreasing? If so, by what percentage?
- Average number of days it takes to process the applications for new business permits.

3. Know the LGU's plans for businesses in the area

Ask the head of the LGU's business permitting and licensing system to fill out the Business Retention and Expansion questionnaire. Discuss with LGU officials their plans for retaining and helping business enterprises located in their jurisdiction to expand and grow.

Issues and challenges. The LGU's services and processes may be effective, but its records and information management may not be. You may find that offices within the same LGU have different ways of handling information, and they may not share that information with one another.

Lessons learned. You may not find the information that you need. They may not be organized, they may come from different places and people, and they may not be readily available. Get information from various sources, and always validate the information.

Templates & references in the Coaches' Resources CD.
Business Retention and Expansion questionnaire

Checklist of data and information to be gathered

- Demographic profile of the LGU
- Total revenue collection of the LGU (for the last three years)
- Revenue collection from new businesses (for the last three years)
- Percentage of revenues collected from new businesses from total revenues of the LGU
- Number of new businesses (annual) issued with business permits and licenses (for the past three years)
- Types/classification of industries/businesses operating in the city/municipality
- Share of each type of industry to the local economy
- Development (general) plan of the LGU. What are the vision, mission and goals of the LGU?
- Plan of the LGU in terms of improving its business permitting and licensing system
- Programs or steps taken by the LGU to improve business permitting and licensing, and the results of previous initiatives

4. Prepare the project brief

In many cases, the LGU may have already streamlined its business permitting process. Get information about how the streamlining was implemented and what were the results and impact of the initiative.

Validate the results and impact and compare them with your initial research about the LGU.

Build your case by demonstrating that the current business permitting process can be improved further through regulatory simplification.

Role of the coach. You prepare the project brief.

Tips. The project brief should explain the compelling reason for implementing regulatory simplification. It should establish that simplification is not an impossible task. Implementing it has low risk for the LGU because it can be directly addressed by local government, unlike other issues that require national government action. Highlight the benefits of regulatory simplification: it is good for the LGU, good for its staff, good for the business sector, and good for the community.

The following questions will help answer whether the LGU needs regulatory simplification:

- Is there no information available to applicants about how to register a new business? Does the LGU receive lots of questions about it?
- Do applicants have to go to many locations to complete all steps in the process?
- Does application for a new business permit take an excessive amount of time?
- Do applicants have to submit numerous forms, often with duplication of information?
- Do applicants have to provide multiple copies of supporting documents?

- Do applicants have to pay various fees at different locations?
- Are documents required to be notarized and presented in person?
- Do national and local agencies involved in the process coordinate and share information?
- Is there no specific number of days or time by which applications must be approved?
- Do local government officials exercise discretion on the approval or disapproval of applications?
- Are there a significant number of complaints from the business

If the answer to any of the questions is YES, then simplification should be considered.

Issues and challenges. LGUs prefer high-impact initiatives that require low political risk and minimal resources.

Lessons learned. Business permitting and licensing system may not be the top priority of the LGU. If that is the case, explain how a simplified system can contribute to the goals of the LGU. For example, if the LGU's priority is infrastructure development, a simplified system can boost revenues from business taxes that can in turn be used to finance infrastructure projects.

Templates & references in the Coaches' Resources CD. Regulatory Simplification Overview

5. Present the project to the mayor

Meet with the mayor to present the rationale and benefits of regulatory simplification.

Role of the coach. You are the social marketing leader for regulatory simplification.

Tips. Explain to the mayor the benefits that regulatory simplification can bring to the LGU. Cite the concrete gains of other cities that have undergone simplification. Also, explain to him that implementing it has low risk for the LGU because it can be directly addressed by local government, unlike other issues that require national government action.

Focus on the LGU's priority. What are its development needs? What does the mayor want for the LGU? Always relate your project presentation to these two major points. Templates & references in the Coaches' Resources CD. Regulatory Simplification Overview

Explain the following topics to the mayor:

- What is regulatory simplification
- Why be competitive
- What are the lessons of experience in regulatory simplification
- Who implements regulatory simplification
- How is regulatory simplification done
- How can regulatory simplification be sustained
- What should an LGU do if it wants to embark on regulatory simplification

Request the mayor to appoint an LGU focal person

Request the mayor to identify an LGU focal person for regulatory simplification. This focal person usually assumes the role of team lead when the simplification project team is organized. He has the following functions:

- Acts as client manager or contact person.
- Coordinates the activities and tasks related to regulatory simplification.
- Ensures that the required LGU documentation is prepared.
- Ensures smooth communication within the project team, and between the project team and the Local Government Academy.

6. Have the memorandum of agreement signed

Guide the focal person in drafting the memorandum of agreement between the LGU, the Regional Office of the Department of the Interior and Local Government, and the Local Government Academy.

Templates & references in the Coaches' Resources CD.
Memorandum of Agreement

The agreement defines the institutional arrangements, the duties and responsibilities of the parties involved in the implementation of regulatory simplification.

- The LGU's simplification management team and simplification project team are in charge of decision-making and management of the project.
- The Regional Office guides the LGU in implementing regulatory simplification.
- The Local Government Academy facilitates coordination among the parties to the agreement to ensure smooth project implementation. It provides the mobilization fund for the coaches when they help LGUs implement the project.

Have the draft reviewed by the parties, and once finalized, have the agreement signed.

7. Get an executive order signed organizing the LGU teams

Guide the LGU focal person in drafting an executive order organizing the simplification management team and the simplification project team. The focal person will then have the mayor sign the executive order.

The management team is composed of heads of different offices or departments involved in processing business permits. These include the Business Permitting and Licensing Office, Engineering Department, Office the Building Official, Planning and Development Office, Treasury Department, and Health Office. The team's primary role is to provide direction in the implementation of regulatory simplification. They decide on matters where management level approval is needed, such as budget, hiring of staff, and adoption of new rules.

The project team is composed of technical staff from the same offices and who are knowledgeable in business permitting and licensing process. They participate in the workshops and discussions, prepare reports, provide inputs and present the outputs and recommendations to the management team.

Templates & references in the Coaches' Resources CD.
Executive Order Creating the SMT and SPT

8. Brief the LGU teams about the project

Meet with the simplification management team and simplification project team and clarify their roles and functions.

Templates & references in the Coaches' Resources CD. Roles of the SMT and SPT | Regulatory Simplification Overview | Monitoring and Evaluation Phase | Business Permitting and Licensing System data capture form

Explain the following topics to the two teams:

- What is regulatory simplification
- Why be competitive
- What are the lessons of experience in regulatory simplification
- Who implements regulatory simplification
- How is regulatory simplification done
- How can regulatory simplification be sustained
- What should an LGU do if it wants to embark on regulatory simplification

9. Develop a project strategic plan

Guide the simplification project team in developing the project strategic plan. The plan defines the direction of the regulatory simplification project. It helps the teams achieve strategic and broader outcomes, such as promoting local investments and developing the local economy. The plan also ensures a coherent and logical sequence of activities and tasks. It has three main elements:

Results chain framework

A results chain is a graphic outline that explains how a project is supposed to work by describing the logical relationships or the chain of events that links inputs to activities, activities to outputs, outputs to outcomes, and outcomes to impact.

For more information, refer to the section Define the results chain on p.53.

Performance targets

Performance targets are fundamental to the simplification process. They help you determine whether the LGU is achieving its goals.

Businesses usually measure the effectiveness of simplification in terms of the reduction in number of steps, time and cost of completing a process. LGUs, on the other hand, measure effectiveness in terms of increase in revenues, number of local investments in the area, number of jobs created, cost reduction, and positive client feedback.

Work and financial plan

The work and financial plan is a detailed action plan for the project. It is a listing of activities with corresponding deliverables, timeframe, person in charge, and resources needed.

Prepare a work and financial plan for each phase. Having an agreed work and financial plan helps in the efficient implementation of regulatory simplification.

Sample work and financial plan

WORK AND FINANCIAL PLAN FOR A CITY					
Stage 1: Analysis of legal policies and regulations affecting business start up at both LGU and national levels to establish degree of process complexity					
Activity or Task	Expected Output	Methodology	Person-in-Charge	Resources	Time Frame
Collation, review and analysis of national laws and local policies governing business permit and license application and processing in Tuguegarao City	legal anchors/bases of the current business permitting and licensing system in Tuguegarao City		City legal officer, coach	P xxx	August 9 - 29
	analysis of legal issues that affect the current business permitting and licensing procedure		City legal officer, coach	P xxx	
Draft operational procedures and operation manual for business permit and license application and processing	narrative presentation of existing business permitting and licensing procedure		Business Permitting and Licensing Office, other members of the project team	P xxx	August 9 - 20
Prepare templates of process matrix or map and interface diagram tools	templates and guide for the preparation of process map/interface diagram	send via email	Coach	P xxx	August 10 - 12

Prepare process map and interface diagram of business permit and license application and processing	graphical and logical presentation of the entire business permitting and licensing process	routing of process map and interface diagram templates	Business Permitting and Licensing Office, other members of the project team, coach	P xxx	
	frequency of interface between business permit applicants and LGU offices or personnel			P xxx	August 13 - 29
	baseline data determined (e.g., number of hours per step, number of forms to fill out, frequency of interface, number of business permit applicants for the past 2-3 years, etc)			P xxx	
Stage 2: Presentation to management team of comprehensive diagnosis or analysis of current system, with baselines established					
Activity or Task	Expected Output	Methodology	Person-in-Charge	Resources	Time Frame
Presentation of diagnosis report to management team	Management team's input and confirmation/ approval received	Simplification management team		P xxx	30-Aug

Stage 2: Presentation to management team of comprehensive diagnosis or analysis of current system, with baselines established					
Activity or Task	Expected Output	Methodology	Person-in-Charge	Resources	Time Frame
Presentation of diagnosis report to the business sector	diagnosis report confirmed by the business sector		Simplification management team	₹ xxx	30-Aug
	additional input and comments as deemed necessary			₹ xxx	

10. Organize the project launch

Guide the simplification project team in organizing the project launch. The purpose of the launch is to demonstrate that the LGU is committed to undertake regulatory simplification.

It will also solidify the partnership among the stakeholders and generate broader support from the public.

Make the announcement in a simple ceremony. Ensure that the mayor and the top officials of different local offices are present during the event. Their presence will reinforce the message that the LGU is serious about the reform. The following is a checklist to guide the project team in organizing the launch event:

- a. Identify stakeholders. Who is the target audience (for example, government agencies, business sector, media, and academe)?
- b. Make the program or agenda. The agenda should include sharing the following information with the audience:
 - Project context - what is regulatory simplification, what are the experiences of other LGUs, what happened prior to the launch
 - Rationale and goals of the project
 - Who are involved and who can join or help
 - How regulatory simplification will be implemented
 - What will happen in the next few months
- c. Make a press release. Consider making a press release announcing the event, and highlight its significance. The media can help in disseminating information about regulatory simplification and the LGU initiative.
- d. Make the administrative and logistical arrangements. Ensure that logistics are set up (for example, venue, sound system, backdrop, handouts, and presentation materials) Make a budget.

Chapter 2: Diagnosis Phase

Diagnosis is the comprehensive review of the regulatory process that business permit applicants experience when transacting with an LGU. It involves identifying and analyzing the problem within the regulatory process, the causes and results of the problem, the time and cost involved, and the LGU's reason for requiring the process where the problem occurs.

Diagnosis is systematic. It involves following certain procedures or steps, using tools and references, and analyzing information.

Role of the coach. You are the facilitator. You moderate the discussions among members of the project team. You steer the discussion away from blaming others to solving problems. You maintain objectivity.

Tips. Before convening a discussion or workshop, be sure to study the entire business permitting and licensing process of the LGU. Make your own analysis, clarify matters, and validate your analysis.

Templates & references in the Coaches' Resources CD.
Diagnosis Phase | Flowchart Symbols | Process Table |
Interface Diagram 1 & 2 | Legal Analysis

1. Analyze the current process using the diagnosis tools

Present an overview of the diagnosis phase. Guide them in the following tasks using various diagnosis tools and methodologies:

a. Analyze the process

Using the process matrix, outline the entire business permitting and licensing process of the LGU. Ask the participants to list the steps that business permit applicants need to complete before they get a permit.

Use the illustrative process table that you prepared in the section ii. List the tasks and activities on p.19 to guide the participants in making the matrix.

i. Gather data

Get a sample business permit application form from the business permitting and licensing office. Choose one that has been filled out, and with documentary requirements submitted, such as locational clearance, social security registration, sanitary permit, and fire safety inspection certificate.

These documents show the actual dates the certifications or permits were applied for and the dates they were approved and issued.

Also, get a copy of the following documents: office manual, citizen's charter, pamphlet or any document that describes the business permitting and licensing system of the LGU.

ii. List the tasks and activities

List in chronological order all the steps, sub-steps, tasks or activities for business permitting and licensing. Get additional information about each step:

- time spent by the applicants to move from one step to another, including waiting, queuing, travel, and processing time
- name of offices, units or departments involved in each step
- location of the offices involved: floor number; within city hall; and if outside the city hall, distance from the city hall

- purpose of each step
- cost to the business permit applicants in terms of time and money
- documents required
- action that an LGU staff needs to do each time applicants perform a step in the process

List the tasks in a process table, similar to the following:

Step No.	Description of Step	Purpose of Step	Performed by	Time Elapsed	Document Submitted	Document Created	Location of Activity
1.	Submission of request and documents	Initiate approval process	Client	0 days	Application & other documents	None	Office No. 1
2.	Review of submitted documents	Ensure completeness of application	Clerk No. 1	0 days	None	None	Office No. 1
3.	Transmittal of file	Further processing	Clerk No. 2	1 day	Application & other documents	None	Office No. 1
4.	Record of application	Records receipt of completed application and required documentation	Clerk No. 1 or designated individual	1 day	None	Record of Receipt of application	Office No. 1
5.	Submission of fee	Payment of Required Fee	Client	0	Cash, check or acceptable financial instrument	None	Office No. 2
6.	Receipt of payment of fee	Ensure payment of associated fee	Clerk No. 3	0	None	Receipt	Office No. 2 (copy to Office No. 1)
7.	Receipt of file	Further processing	Clerk No. 2	3 days	None	None	Office No. 1
8.	Forwarding of fee	Deposit fee	Clerk No. 3	1 day	None	Entry on payments received document	Office No. 3 (copy at Office No. 2)

Step No.	Description of Step	Purpose of Step	Performed by	Time Elapsed	Document Submitted	Document Created	Location of Activity
9.	Request for additional documentation	Seek required documentation	Clerk No. 2	4 days	None	Letter	Office No. 1
10.	Assignment of inspector	Initiate inspection	Clerk No. 2	7 days	None	Inspection Request	Office No. 4 (copy Office No. 1)
11.	Arrangement of inspection	Fix time and date of inspection	Inspector No. 1	8 days	None	None	Office No. 4
12.	Inspection	Conduct inspection	Inspector	13 days	None	Inspection Notes	Office No. 4
13.	Preparation of Inspection Report	Indicate results of inspection	Inspector	17 days	Inspection Notes	Inspection Report	Office No. 4
14.	Submission of Inspection Report	Report on results of inspection	Inspector	20 days	Inspection Report	None	Office No. 1 (copy Office No. 4)
15.	Request for issuance of approval	Complete process	Clerk No. 2	25 days	Inspection Report	Request for issuance of approval	Office No. 1
15.	Request for Deficiency Letter	Provide notice of deficiencies	Clerk No. 2	25 days	Inspection Report	Deficiency Letter	Office No. 1
16.	Processing request for issuance of approval	Complete process	Clerk No. 4	30 days	Request for Approval	Approval	Office No. 1

Step No.	Description of Step	Purpose of Step	Performed by	Time Elapsed	Document Submitted	Document Created	Location of Activity
17.	Signature of approval or Deficiency Letter	Completes process	Official No. 1	34 days	Approval	Signed Approval or Deficiency Letter	Office No. 1
18.	Transmittal of approval or Deficiency Letter	Send client approval or Deficiency Letter	Clerk No. 4	35 days	Signed Approval or Deficiency Letter	None	Office No. 1
19.	Mailing of approval or letter	Send client approval or deficiency letter	Clerk No. 5	36 days	Signed Approval or Deficiency Letter	None	Office No. 1

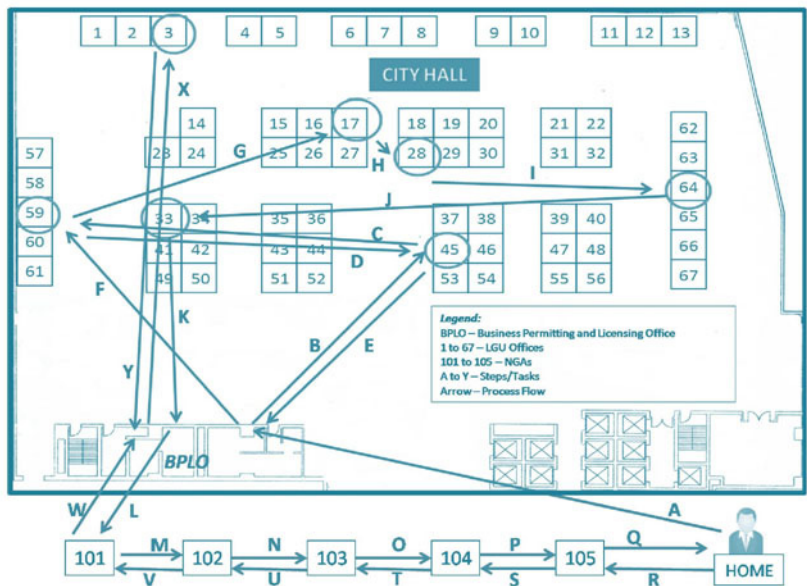
iii. Verify the process with the process owners

There are some information that you may not be able to get from secondary sources. You need to speak to the staff in-charge. There may be some “hidden” steps or sub-steps that are not listed in the business permitting and licensing process. Discover these hidden steps and include in the process table.

iv. Make a process locator sketch

To visualize the transaction flow, you may want to make a process locator sketch. The sketch is a layout of the LGU building or compound where business permit application and processing take place. Use arrows to indicate the transaction flow, step-by-step, from the beginning up to the final step or task. Indicate the distance and travel time from one point to another.

The following is an example of a process locator sketch:



b. Analyze the person-to-person interface

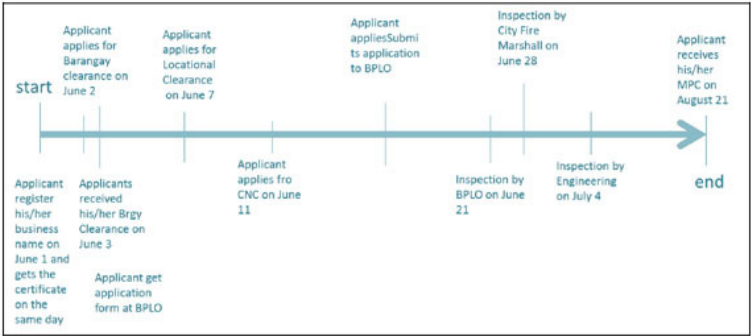
Guide the project team in preparing an interface diagram, which complements the process matrix. The diagram shows the instances where applicants need to talk to an LGU staff as they move from one step to another.

c. Analyze the process timeline

Guide the participants in making a process timeline that shows the amount of time or number of days it takes to complete each step in the business permitting and licensing process. Have them base the timeline on a completed application.

Ask the participants to indicate the start date and completion date of a step, or the date that a requirement was submitted or approved. If there is a delay, ask them to find out the reason.

The following is an example of a process timeline:



2. Guide the project team in legal analysis

Legal analysis identifies the policy basis of the existing regulatory process. It helps the simplification project team in determining which part of the regulatory process is inconsistent with national or local laws. Legal analysis provides the project team with a legal framework for the new system.

Be sure to involve the LGU’s legal officer when making the legal analysis.

Using the legal analysis matrix, guide the team in determining the legal basis of each step. Indicate whether it is a LOCAL policy: specify the ordinance, memorandum of agreement, or executive order. Or a NATIONAL policy: specify the republic act, presidential decree, or some other national policy. It is important to distinguish between local and national policies because when you get to the design phase, you will need to decide where the reform should occur.

Templates & references in the Coaches' Resources CD.
Legal Analysis of Tuguegarao Business Permitting | Anti Red
Tape Act of 2007_RA 9485 | DILG DTI Joint Circular 01 Series
2010_Guidelines in Implementing Business Permitting

Guide the simplification project team in identifying the laws, policies and regulations that are relevant to the LGU's business permitting and licensing system, including the following:

- Republic Act 9485 or Anti Red-Tape Act of the Philippines
- DILG-DTI JMC No. 01, Series of 2010 Guidelines in Implementing Business Permitting
- Local Revenue Code
- Citizens' charter
- Zoning ordinance
- National Building Code
- Fire Code of the Philippines
- Local Sanitation Code
- Local investment promotion ordinance
- Other relevant ordinances

Guide the team in making a legal analysis for the current business permitting and licensing procedure of the LGU. Determine the legal basis for each step or requirements in the current system, and show this in a legal analysis matrix.

The following is an example:

Step	Document	Agency	No. of Days	Fee	Policy/Legal Issuance
1	Client gets and fills up the Application Form	BPLO			<p>Tuguegarao Revenue Code of 2011</p> <p>Sec. 3A.03. A written application for a permit to operate a business or engage in any business related activity shall be filed with the office of the city mayor. The application form shall set forth the name and residence address of the applicant, the description or form of business, the place where the business shall be conducted and such other pertinent information or data as required in accordance with the IRR set forth by the city mayor in registering a business.</p> <p>Note: The City (thru the BPLO) has not issued the IRR as prescribed by the Tuguegarao Revenue Code</p> <p>Sec. 3A.08. The Issuance of a Mayor's Permit shall not exempt the licensee from the fulfillment of other requirements in connection with the operation of the business or in the conduct of an activity prescribed under this Code</p> <p>DILG-DTI Joint Memorandum Circular No. 01, Series of 2010</p> <p>Sec. 4.1. Application Form. All cities and municipalities shall use a single unified form in processing new applications for business permits and business renewals (Annex 1). The unified form consolidates all the information about a business permit applicant needed by various local and national agencies. The adoption of the unified form is anticipated to contribute to reduction of steps and time in applying for business permits</p>

Step	Document	Agency	No. of Days	Fee	Policy/Legal Issuance
2	Secure requirements: BIR Tax Identification Number Payment	BIR (relevant RDO); AAB, Revenue Collection Officer, or duly authorized Treasurer of the LGU where each place of business or branch is registered	five (5) working days from filing of appl. and submission of all documentary requirements, and upon presentation of duly validated BIR Form 0605 as proof of payment	P500	<p>National Internal Revenue Code. RA No. 8424</p> <p>Sec. 236. Registration Requirements. -</p> <p>(A) Requirements. - Every person subject to any internal revenue tax shall register once with the appropriate Revenue District Officer:</p> <p>(1) Within ten (10) days from date of employment, or</p> <p>(2) On or before the commencement of business, or –</p> <p>(3) Before payment of any tax due, or</p> <p>(4) Upon filing of a return, statement or declaration as required in this Code.</p> <p>Note: TIN is required on or before commencement of business; not necessary for business permit. In fact, BIR requirement for TIN is Mayor's permit or duly filed application for Mayor's permit. http</p> <p>The registration shall contain the taxpayer's name, style, place of residence, business and such other information as may be required by the Commissioner in the form prescribed therefor.</p> <p>A person maintaining a head office, branch or facility shall register with the Revenue District Officer having jurisdiction over the head office, brand or facility. For purposes of this Section, the term "facility" may include but not be limited to sales outlets, places of production, warehouses or storage places.</p>

Step	Document	Agency	No. of Days	Fee	Policy/Legal Issuance
2					<p>(B) Annual Registration Fee. - An annual registration fee in the amount of Five hundred pesos (P500) for every separate or distinct establishment or place of business, including facility types where sales transactions occur, shall be paid upon registration and every year thereafter on or before the last day of January: Provided, however, That cooperatives, individuals earning purely compensation income, whether locally or abroad, and overseas workers are not liable to the registration fee herein imposed. The registration fee shall be paid to an authorized agent bank located within the revenue district, or to the Revenue Collection Officer, or duly authorized Treasurer of the city of municipality where each place of business or branch is registered.</p> <p>Note: Exemption from fee.1) Non-stock, non-profit organizations and associations, not engaged in trade or business, and cooperatives (RMO 41-94); 2) Persons who will be engaging in business for the first time whose expected gross sales or receipts for any 12-month period will not exceed P 100,000 (marginal income earner) (RR 11-2000);3) Storage places/place of production/extension offices where no selling operations are conducted thereat (RMO 41-94)</p> <p>Note: Sole proprietor need not secure another TIN if he already has one.</p>

The legal analysis should contain the following information:

- Rationale of the business permitting and licensing system, pertinent national laws and local ordinances that apply to the steps or requirements in getting a business. Take note of the steps or requirements that lack legal basis.
- National and local laws and policies that can support regulatory simplification.

ii. Help the project team prepare the diagnosis report

Guide the simplification project team in updating and finalizing the process and legal analysis of the current business permitting and licensing system. Evaluate the workshop output and comments of the simplification project team. Integrate the comments in the process analysis.

Instead of a narrative text, format the report as a slide presentation. The target audience of the report is the simplification management team, who will comment on the report and endorse it to the mayor.

The following are the information that should be highlighted in the report:

Part I – Background or context of the business permitting and licensing system

- Number of all businesses operating in the LGU
- Annual revenues generated from these businesses
- Number of new businesses registered per year
- Annual revenues collected from new businesses registered

Part II – Business permitting and licensing system and its performance

- Overview of the existing system
- Process matrix
- Interface diagram

Part III – Assessment points and analysis

- Baseline data (number of steps, documents required, interface required, signatories, inspections, processing time)
- Bottlenecks in the current process and their causes
- Legal analysis

d. Conduct a validation workshop

IMPORTANT: Help the simplification project team prepare for a workshop with the partners and clients of the LGU. These include the business sector, national government agencies, local government officials, and other stakeholders. The purpose of the workshop is to validate the current business licensing and permitting process.

You will present the diagnosis report prepared by the simplification project team in the meeting with partners and clients. Be sure to highlight the baseline

data on process time, steps and legal basis. Emphasize that these are the subject of the reform process.

Invite comments and inputs from the participants. Ask them whether the assessment captures the actual process as experienced by the applicants. Consider their comments and inputs when finalizing the diagnosis report.

e. Assess the capacity of LGU

Together with the simplification project team, assess the capacity of the LGU to reform the regulatory process. Consider the following areas in the capacity assessment:

- Physical layout – refers to the layout of LGU offices and the activities that take place in these offices. It includes location of offices, space, office equipment and supplies.
- Human resources - refers to LGU staff and their levels, their respective duties, responsibilities and tasks. You may want to do an inventory of all the staff involved in the regulatory process, their appointment type (for example: permanent, casual, job order), and their skills.

- Financial resources – refers to the LGU finances that can be used for business permitting and licensing. Does the LGU have the budget for regulatory simplification? If not, what are other possible sources, and when will the budget be available?
- Information technology infrastructure - refers to the information technology systems and processes that are in place. Is it used in business permitting and licensing, is it networked and linked to regulatory offices, does it access a central database, can the software be customized for regulatory simplification, are there proprietary constraints? Examine the contract with the service provider regarding system updates, changes and limitations of the software.
- Organizational structure – refers to the capacity of the LGU organization to implement regulatory simplification. Are there organizational changes that will be needed, what management decisions need to be made, what is the timeframe for this change, what policies can support this organizational change?

The project team may use SWOT Analysis during capacity assessment.

STRENGTH		WEAKNESS	
Physical structure	Human resources	Physical structure	Human resources
Financial resources	IT infrastructure	Financial resources	IT infrastructure
OPPORTUNITY		THREAT	
Physical structure	Human resources	Physical structure	Human resources
Financial resources	IT infrastructure	Financial resources	IT infrastructure

Strengths and Weaknesses are internal to the organization. Strengths are factors and situations that contribute to the effective and efficient performance of duties and functions related to business permitting and licensing. Weaknesses impede smooth execution of tasks and cause low productivity.

Threats and Opportunities are factors external to the organization. They are usually beyond the control of the organization. Threats are conditions that could prevent the LGU from achieving its goals. Opportunities are situations that can help achieve regulatory simplification goals.

Chapter 3: Design Phase

The objective of the design phase is to develop a business permitting and licensing system that is simple and convenient for business permit applicants. At the same time, the system should help the LGU uphold its mandate of protecting public health, safety, and welfare.

1. Guide the project team in review of laws and policies

Guide the simplification project team in revisiting the laws and policies that were considered in the section

Guide the project team in legal analysis on p.23.

Templates & references in the Coaches' Resources CD.
Anti-Red Tape Act of 2007_RA 9485 | DILG DTI Joint Circular
01 Series 2010_Guidelines in Implementing Business
Permitting

Republic Act 9485: Anti-Red Tape Act of 2007. The act mandates all government agencies to provide efficient service to the public, reduce bureaucratic red tape, and prevent graft and corruption.

DILG DTI Joint Memorandum Circular 01 Series 2010: Guidelines in Implementing the Standards in Processing Business Permits and Licenses in All Cities and Municipalities. The circular prescribes the guidelines for implementing the standards in processing business permits and licenses in all cities and municipalities. These standards are processing time, number of steps with the process, number of signatories, and use of a unified application form.

2. Conduct a design workshop

Conduct a design workshop with the simplification project team.

a. Consider simplifying the following areas:

- **Document submission** – are all documents necessary; do certain departments, offices, or units require the same documents; which documents can be removed without affecting the integrity of the new business permitting process?
- **Document verification** – do applicants need to show a copy of the application form at each step of the process; is there a tracking system to determine how the documents move across departments, offices, or units; do applicants need to have the documents authenticated or notarized, what value does notarization add to the process?
- **Steps and time involved in the process** – are all the steps necessary; do they have a legal basis; can certain steps be combined; can they be done by fewer people; are all signatures and approvals necessary; how many minutes, hours, or days are spent from the time applicants submit their application to the time they get their business permit?
- **Technology** – what kind of information technology infrastructure is in place, are the applicants familiar with the use a computerized system, does the LGU have the budget for the direct and indirect costs of technology?

- **DILG DTI Joint Memorandum Circular 01 standards** – compare with the standards indicated in the memorandum, specifically on processing time, number of steps, signatures and approval required, and use of a unified application form for business permits and licenses.

b. Consider various models of streamlined systems

There are examples of successful simplified business permitting and licensing systems that the project team can consider. These will give them ideas and options in designing their own simplified process.

Tuguegarao: central business data registry system

Tuguegarao put up a central database of all information related to business permitting and licensing. Records of the applicants' compliance with zoning requirements, tax payments, building and occupancy permits are entered in the database. A computer program processes the information submitted by the applicants, and compares them with the records in the database. With this database, the applicants do not need to make a separate application for a locational clearance, tax clearance, occupancy permit, or building permit.

Puerto Princesa: classifying businesses according to environmental risks
Puerto Princesa, with its focus on environment protection, simplified its business permitting and licensing process by categorizing businesses according to environmental risks.

With low-risk businesses, steps related to registering with social security agencies and which used to be part of the old procedure were moved to the post-permit stage.

With high-risk businesses, applicants must comply with environmental, health and sanitation regulations before they can get a business permit.
Pasig: one-time assessment and payment

Pasig integrated fire inspection fee assessment and collection in the city's business permit and licensing system. Before the reform, business permit applicants had to go to the city fire marshal's office for the assessment and payment of fees for his fire safety inspection certificate. This task meant additional time and cost for the applicants.

Quezon City: one-stop shop

Quezon City established the Business One-Stop Shop or BOSS to make business permit application faster and easier. In a single visit to the BOSS, applicants can get their business permit in three simple steps. They can also

access an online link to regulatory offices for compliance verification and clearance, and the direct link to the Philippine Business Registry of the Department of Trade and Industry.

Mandaluyong: local area network

Mandaluyong's regulatory offices such as the city health office, engineering office, planning and development office, assessor's office, and treasurer's office are linked to the business permitting and licensing office through a network of computers. When an application is entered in the system, the various offices in the network are prompted to perform the tasks required of them (for example, issuing clearance, assessment of fees). These offices then transmit the results to the business permitting and licensing office for final processing of the application. Mandaluyong has a management information system department that maintains, upgrades and updates the software and the network.

Manila: file and pay

Manila has a one-stop shop supported by a central database that allows applicants to complete only two simple steps to get their business permit: file and pay. It also allows the city to verify the applicants' compliance with the following regulations: zoning clearance, building permit or occupancy permit, fire safety and inspection certificate, health and sanitation clearance, tax clearance, and other requirements. The city has a management information system department that maintains, upgrades and updates the software and the network.

c. Identify the pre-application requirements

A business must have a legal personality and its operations are legitimate. If it is a corporation or a partnership, it must be registered with the Securities and Exchange Commission. If it is single a single proprietorship, with the Department of Trade and Industry. If it is a cooperative, with the Cooperative Development Authority.

Ask the members of the simplification project team what documents should applicants prepare and submit when applying for a business permit.

Use the legal analysis that the simplification project team prepared in Chapter 2: Diagnosis Phase on p.18 as a guide in determining the requirements for getting a business permit.

If there are additional requirements prescribed by ordinances, executive orders, administrative orders or other policies, the LGU may consider amending these local policies before proposing any changes in the business permit and

licensing system. Be mindful of the time required for such amendments and the manner by which they will be made. Legislative issuances can be amended and revoked only by another legislative issuance. Executive issuances can be amended or revoked by another executive issuance or by a legislative issuance.

d. Identify the information that applicants are required to provide

Ask the project team to examine each documentary requirement and decide whether it is necessary in processing the application. The following questions will help the team in this exercise:

- What information in the required document is needed by the LGU?
- Does this requirement have a legal basis?
- Can the information be obtained online, for example, from the Philippine Business Registry, Bureau of Internal Revenue, Securities and Exchange Commission, Cooperative Development Authority?
- Can the information be retrieved from the databases that the LGU already has, for example, records of building permits and occupancy permits, tax payments?

e. Revise the application forms

Guide the team in the following tasks:

- Examine how the required information is submitted.
- Simplify the language used in forms and remove unnecessary fields.
- If there are no forms, create them, but be sure to ask only the required information.
- Include all the information needed by other offices so that only one application form will be needed.
- Ask the team to use as a model the unified application form prescribed in the DILG DTI Joint Memorandum Circular 01 Series 2010: Guidelines in Implementing the Standards in Processing Business Permits and Licenses in All Cities and Municipalities on p.30.

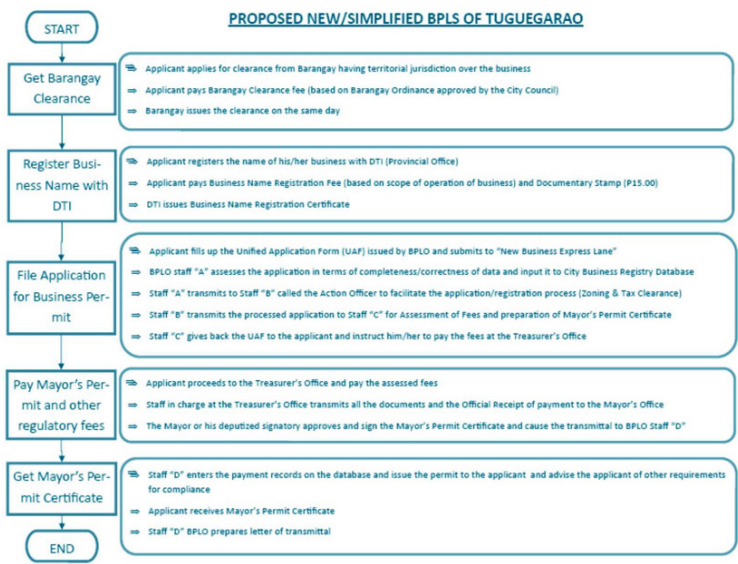
The LGU may add more information but cannot omit a field in the unified application form. Note that the information in the form is used in the integration of the LGU system in the Philippine Business Registry.

f. Identify the steps and tasks in the new system Guide the team in defining the following information:

- Applicants – What steps and tasks do applicants need to complete?
- LGU – What does the LGU need to do in response to the steps or tasks completed by the applicants?

Ask the team to consolidate the results of the workshop and design the LGU’s simplified business permitting and licensing system. They should be specific, and should use plain language.

The following is an example of a simplified process.



3. Get the input of the management team

Help the simplification project team prepare for a presentation of the proposed design to the simplification management team. The project team leader makes this presentation. Highlight the main features of the proposed design, the improvements in the old system in terms of processing time and number of steps. Point out also the management support needed to implement the simplified system.

This activity has two objectives: to get the input and feedback of the management team; and to get management's approval of the proposed design.

4. Hold stakeholder consultations

Guide the simplification project team in organizing stakeholder consultations. You can have single stakeholder consultation or multi stakeholder consultations with the mayor and other key officials of the LGU, national government agencies, and the business sector.

The objectives of the consultations are as follows:

- Determine the feasibility and acceptability of the proposed simplified process
- Provide room for improvement of the proposed design by soliciting input from stakeholders
- Finalize the proposed simplified process

Ask the project team and the management team to prepare for the consultations. They will present the proposed reforms and changes.

Ask the teams to consider various scenarios that may happen during the consultations. Make a list of frequently asked questions and the corresponding answers.

5. Finalize the design of the simplified system

Guide the simplification project team in reviewing the input and feedback from stakeholders, and revising the design of the business permitting and licensing system as needed.

Guide the project team in finalizing the design. Submit the final report to the simplification management team for approval.

6. Draft the local policy adopting the new design

Guide the simplification project team in drafting a policy issuance adopting the proposed simplified business permit and licensing system. This could be in the form of an executive order or an ordinance.

A policy issuance should outline the following:

- Objectives and rationale of the reform
- Legal basis or legal framework for implementing the reform
- Description of the new system
- Process flow describing the steps, time, cost or fees, documentary requirements
- Changes in the physical setup (office) if necessary
- Staffing
- Funding for acquisition of additional equipment and construction of facility, if applicable
- Provision for continues improvement

This is the last step in the design phase. Congratulate the simplification project team and the simplification management team for their contributions.

Chapter 4: Implementation Phase

You will guide the simplification project team in ensuring that facilities, personnel, systems, policies and other requirements are in place to facilitate the implementation of the new design for business permitting and licensing.

Role of the coach. You will monitor the implementation of the activities in preparation for the use of the new system. You ensure that tasks are assigned to people who have the capacity and that they deliver on schedule. You give technical support to the project team, for example, in making flowcharts and defining the requirements for the new system.

Tips. Distribute the tasks to the members of the project team. Study how simplified systems were implemented in other LGUs. If possible, go to these LGUs and interview the people involved in the simplification initiative. Look for lessons learned, find out how the LGUs did it, what resources were needed. Schedule the implementation of the new system during peak season, for example, January-February.

This will test the new system in high volume transactions. But be sure to conduct a dry-run prior to implementation to give the project team time to adjust and refine the system.

Templates & references in the Coaches' Resources CD. Operations Manual

In this phase, you and the simplification project team should identify the requirements and tasks that will be needed to implement the new system. The following questions below can help you determine the next steps.

- Has the LGU passed an ordinance or executive order to support the new business permitting and licensing system?
- Does the ordinance or executive order include the following: designation of the person who will manage the process, delineation of new responsibilities and functions of the implementors of the reformed process, resource requirements especially those from outside the regular budgetary allocations, staffing requirements, requirements for communication and publication of the new process.
- Do the staff understand how the new system works? What training do they need to implement the new system?
- Does the city have to construct a room or office to house the new system?
- Do you need a new software or computer program to run the new system? If yes, where and how will the LGU acquire the computer hardware and software?
- Does the LGU have the budget for information technology?

More questions will surface. You should facilitate the discussion to find answers to these questions and help the project team refine their implementation plan.

You as coach will observe how the new system works. For example, if the new system is computer-based, is the software or program performing according to the system design? Does the staff assigned perform the designated tasks? List all your observations and immediately inform the project teams about your observations so you can decide how to adjust the new system.

1. Make an implementation plan

Conduct a planning workshop with the simplification project team to create an implementation plan and to ensure that activities are coordinated.

In the workshop, discuss the following tools and mechanisms, and identify the persons who will be responsible for each tool:

- **Operations manual.** It is a detailed guide for the implementors of the new system, and it defines their roles and responsibilities. It also describes the sequence and relationship between the steps, and the expected output in the process.
- **Service standards.** It defines the performance levels for time and quality, which should be communicated to the LGU units concerned and the public.
- **Feedback mechanisms.** It provides ways of receiving and responding to feedback, complaints, and queries from the public through the LGU staff, suggestion boxes, emails, client surveys, or interviews with applicants after they get their business permit.
- **Employee training.** It is an orientation on the new or modified roles and responsibilities of the heads of LGU units and staff concerned. Train staff on how to respond to questions from the public. Determine the training needs of staff as a result of changes in technology or new processes. Train on the job through simulations, test-runs or dry-runs.
- **Physical setup.** It refers to the physical facilities such as rooms, offices, equipment, network cables, signage, and other arrangements. This may involve putting up of One-Stop Shops; retrofitting offices including installing new cabling for computers; re-arranging offices; or constructing an office where applicants will transact business.
- **Communication and transparency.** It refers to the approaches in communicating the reform clearly to the public and to the LGU staff. It explains what change has taken place, and why it is important and beneficial both to the public and LGU staff. It also clarifies how the business permit applicants should use the new system, which includes the application form, processing time and steps, documentary requirements, and fees. Some communication tools that may be used are billboards, signage, press release, newspaper advertisements, radio announcement, television infomercials, and the LGU website.

Organize a public launch of the new business permitting and licensing system. Include a public signing of the executive order or ordinance implementing the new system. Ask applicants to test the new steps for applying for a business permit. Invite the media to cover the event.

Specify the expected results, target date of completion, and resources required.

The following is an implementation plan template that you can use in the workshop:

Components	Task	Expected Result	In-Charge	Timeframe	Resources
Operations manual					
Service standards					
Feedback mechanisms					
Employee training					
Physical setup					
Simulation of new system					
Communications plan					
Public launch					
Actual run of the new system					

3. Write the operations manual

Guide the simplification project team in writing the operations manual for the new business permitting and licensing system.

The manual is a quick reference guide for the LGU staff and a training tool for the officers.

It is also your guide as coach in identifying what needs to be done. For example, the operations manual explains the first step in applying for a business permit. For you, the relevant questions would be the following:

- What will the application form look like?
- What information do we need from the applicants?
- How can applicants get the form?
- Who files the application?
- Are there any other documents that should be submitted together with the application form? If so, what are these? What are the requirements before one can get these documents? How can these documents be obtained?

A well-designed operations manual helps create an efficient and effective business system.

To write the manual:

- a. Develop a standard format. Use this format in every chapter of the operations manual.
- b. Create a table of contents. Highlight distinct business operations. For example, “Application for a New Business License” should be one chapter.
- c. Create a list of definitions. Include brief definitions of key terms used in each chapter.
- d. Develop a step-by-step summary of procedures. Include the key process steps involved in each activity.
- e. Use flowcharts and other graphics to illustrate processes. Include a description of the step-by-step processes.

- f. Include pictures. If the new system is automated, include pictures of the step-by-step procedures as displayed in a computer monitor. Put explanations of what to do in each step.
- g. Create a checklist. Include the following information: questions to ask the applicants; documents to request from the applicants; instructions, reminders and other information to be shared with the applicants.
- h. List the forms to be used. Include the forms for each business process. Put sample completed forms as annex.
- i. Enumerate the guidelines and policies. Include any relevant guidelines, procedures and expectations, for example, cash handling, order processing, security and emergency procedures. Attach a summary of pertinent national and local issuances that support the procedures described in the manual.
- j. List frequently asked questions. Include the typical problems and issues that arise.
- k. Put an index. Include a detailed index at the end of the manual to aid in quick access based on topics and keywords.

4. Define the service standards

Guide the simplification project team in defining the service standards.

Service standards describe the kind of service that clients or applicants can expect from the new business permitting and licensing system. They indicate how long it will take the LGU to provide the service, how much it will cost, and what clients can do if they are not satisfied.

Setting and communicating the service standards contribute to client satisfaction. It also helps the LGU be more transparent.

The LGU can use the service standards to monitor the project and improve the performance of the staff assigned in the new system. The standards motivate staff, they help staff understand the level of performance expected of them.

Components

Service standards consist of the following components:

Description defines the service to be provided.

Principles describe the quality of service a client can expect to receive.

Delivery targets indicate how a client can avail of the service, the response time, and the accuracy. They answer a number of questions: when can a client submit an application, how long will it take the LGU to act on the application, what is the LGU's target reduction in the number of errors in the system.

Costs provide a schedule of fees and other costs that a client will pay when applying for a business permit.

Complaint and redress mechanisms specify how feedback and concerns are addressed, especially when a client feels that the LGU does not meet the service standards.

Service standards should result in performance indicators that are observable, measurable, realistic and consistent with the project objectives.

A successful implementation of service standards has the following characteristics:

- Stakeholders participate in defining the standards and measuring success.
- The standards are communicated well to all stakeholders. They are published in local papers or announced through social media, billboards, and flyers. They are reviewed regularly and are revised as needed.
- The actual service delivery is evaluated based on clearly defined benchmarks, and through statistical indicators and stakeholder interviews.

To define the service standards:

- a. List the services involved in the new business permitting and licensing system.
- b. Choose the services that should be subject to service standards. Some examples are evaluation of application form and submitted requirements, assessment of fees, processing of clearances, and inspection.
- c. Determine the client satisfaction levels that the LGU should aim for. How many minutes or hours or days before an application process is completed? Who is responsible for completing the process? How much does it cost?
- d. Ask clients and staff what they want improved or changed in the service standards.
- e. Set the standards either at the same level or higher than the client satisfaction levels identified in step c. For example, if clients are satisfied to have their application form and requirements evaluated within 30 minutes, set your service standard to less than 30 minutes.
- f. Train staff on the service standards and their role. Explain how they are to interact with clients, how to answer questions, accept requests and process papers.
- g. Provide the necessary equipment to improve productivity, for example, computers, kiosks, client counters.
- h. **IMPORTANT:** Determine how to monitor performance based on the service standards. For example, through client satisfaction survey or suggestion box. Design, see p.5.
- i. Determine the consequences of not meeting defined service standards. For example, failure to approve a request within a specified period of time means that the request is automatically approved.
- j. Identify what records of the monitoring process will be retained for current or future evaluation.

5. Design a feedback mechanism

Guide the simplification project team in designing a feedback mechanism that will regularly gather comments, input, and suggestions from clients. This mechanism starts once the new system is running.

It is important that the LGU considers the perspectives of the people outside the organization. Clients are the primary consideration for the regulatory reform, so their feedback is very critical.

The team will have to review the feedback periodically and discuss actions that need to be taken.

Feedback areas

There are three areas where client feedback is needed:

- On the process, including time, cost, requirements, steps or tasks
- How LGU staff deal with clients
- Physical setup, including type of facilities and office location

Instruments

To gather feedback, use any of the following instruments:

- client satisfaction survey
- comment sheets
- feedback by snail mail or email
- telephone poll
- online feedback mechanism via social media, for example, through Facebook and Twitter

The LGU can also setup a client information desk or counter where clients can submit their feedback.

6. Make a training plan

Guide the project team in making a training plan for the LGU staff and officials who will be involved in the system.

The simplified regulatory process requires the enhancement of knowledge, skills, and attitudes of these staff and officials. They need to be quick, efficient, and precise. They need to understand the national and local policies and regulations that govern the effort. Finally, they need to appreciate that the initiative is part of a broader move to make the LGU more competitive through effective and efficient public service delivery.

They are not necessarily a new set of staff. A new system may require the same staff. However, the LGU needs to properly match the staff with the skills required. It can do so by evaluating the current personnel, their credentials including educational attainment and work experience.

While the frontline staff may already know “how” the process works, it is also important that they be trained to answer questions from clients about how the changes affect the public.

Training objectives

In making the training plan, the simplification project team should help the LGU staff and officials perform the following:

- Describe and demonstrate the new process.
- Outline the reasons and benefits of the streamlined process.
- Understand the opportunities and challenges in implementing the new system and recommendations.

It is important that the training plan is incorporated in the implementation plan. The training plan should cover three areas:

- the organization
- the requirements for the relevant positions
- the needs of the individuals who hold or will hold those positions

The training plan should cover current staff requiring training. It should also identify the skill sets that need to be filled as a result of changes in the process or technology.

Staffing and training requirements

The following table is an example of how a step in a process is used to define the staffing requirement, skill sets required, and corresponding training needed.

STEP/PROCESS	TASKS INVOLVED	REQUIRED SKILLS	TRAINING NEEDED
STEP 1: FILE			
(TASK 1): Staff accepts application form and all requirements and checks that they are complete and properly authenticated	Physical checking of documents submitted. Verify information and documents submitted using the database.	Full knowledge of business permitting and licensing and relevant policies. Full knowledge of the requirements to be submitted and how to verify the same	Legal framework of the new business permitting and licensing. FAQs concerning all required documents. Explain how forms should be accomplished.
(TASK 2): Staff encodes/ enters all necessary information into the system.	Encode required information into the system. Generate assessment form or order of payment	Must know what information are needed. Encodes fast and accurately.	Explain how forms should be accomplished. Basic computer training.

7. Prepare the physical setup

Guide the project team in planning the physical setup needed to implement the new business permitting and licensing system.

Physical setup refers to movement of personnel, office arrangement, acquisition and installation of necessary equipment, creation or upgrading of IT infrastructure, building the database, networking of computers, construction of a one-stop shop facility, and moving to a new location of offices or counters if needed.

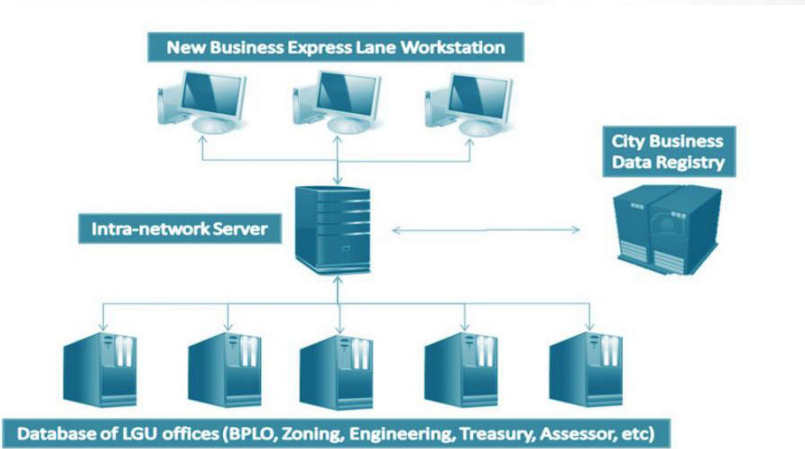
The project team may want to form a smaller group. For example, a technical working group who will take charge of the physical setup.

The LGU must give the technical working group the authority to coordinate with respective offices to execute the implementation plan on physical setup. This authorization can be through an office memorandum signed by the mayor.

For example, the city budget office may be designated to plan for the budget requirement for the physical setup; the general services department for acquisition; the information management office for the information technology infrastructure; networking and database building; and the city personnel office for movement of personnel.

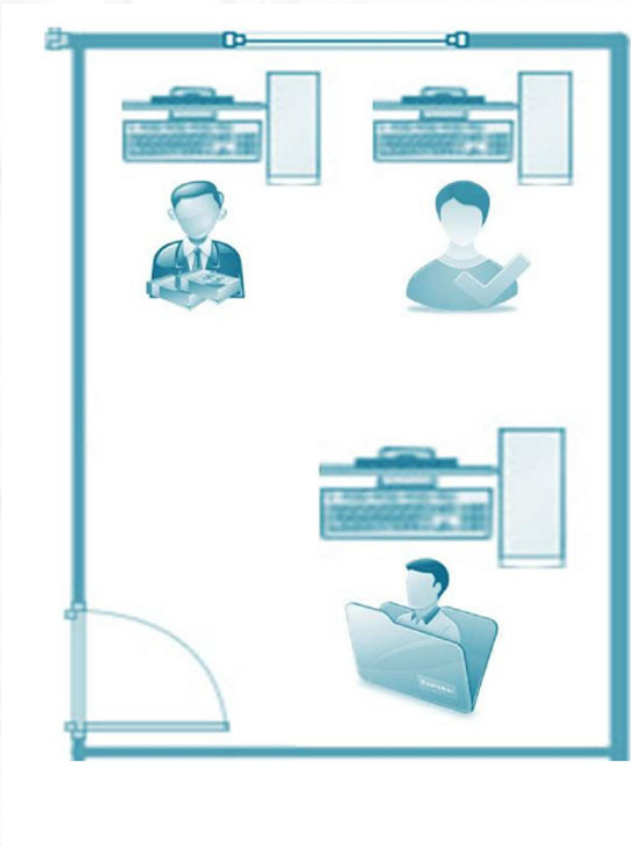
Tuguegarao Automated Business Registration System

The following illustration shows the setup of an automated system, the flow of data and connection between regulatory offices.



Tuguegarao One-Stop Shop Facility Floor Plan - New Business Express Lane Workstation

The following illustration is a sample business one-stop floor plan showing the arrangement of computers and the functions of the units within the area.



8. Do a simulation

Guide the project team in setting up the simulation or test run of the new system. The objectives of the simulation are as follows:

- Determine whether the staff assigned understand the process and whether they are sufficiently equipped with appropriate skills.
- Check whether all equipment such as computers and network printers are functioning properly according to the design of the new process.
- Determine whether the clients understand and are able to follow the new procedures under the new system.
- Determine whether the output under the new system is within the range of the benchmarks or performance indicators for time, number of steps, cost, and other considerations.

IMPORTANT: If necessary, you may do multiple simulations.

What to do in the simulation

For the simulation, run 5 to 10 sample applications using the new system. If possible, select sample cases or types of businesses of different categories. You can use either a real-life application or a mock application. However, it is preferable that you test run actual applications to get a more accurate simulation report.

Observe the flow as the application goes through the process. Get the time consumed for each stage or step of the process. Record all your observations, both the positive and negative points. Also, do a quick interview with the applicants after the test run and ask them about their experience applying for a business permit under the new system. Document their feedback as well.

IMPORTANT: You may want to invite a few business entrepreneurs who previously applied under the old system to witness the simulation exercise and ask them to compare the old with the new system.

Discuss the observations as a group and decide how to address issues and gaps. Discuss also how to maintain or improve further the positive results of the new system.

9. Make a communication plan

Guide the project team in developing a communication plan. The plan outlines the roles and responsibilities of people who will review, approve and disseminate information about the simplification initiative. It also identifies the events, documents and milestones involved.

A meaningful communication between the LGU and the stakeholders results in a stronger, more effective regulatory process.

- It promotes awareness, understanding and transparency.
- It develops relationships with stakeholders.
- It lessens staff and client miscommunication about the change.

Part of a simplification initiative is reducing resistance to change. Internal participants (staff, managers, LGU councils) and external stakeholders (citizens, businesses, funding institutions) are interested in the outcomes. They want to get updates about the initiative, and would want to understand how the project affects them.

Communication materials

- Print publications
- Online communication including websites and emails
- Meetings and conference materials
- Media relations and public relations materials including press releases
- Legal documents
- Communiqués
- Surveys
- Annual reports
- Signage
- Speeches

Tips in making a communication plan

Use plain, simple, clear language.

Build into the plan a way to inform and consult citizens and businesses before new regulations take effect, including the time allotted to comply and what happens in the event of non-compliance.

Include a periodic review of the regulation or process to ensure that it remains relevant and effective.

Communication plan task list

- Ensure that persons are assigned to perform the following tasks: a) identify and assess stakeholder needs; b) prepare communication materials; c) approve the various types of communications; d) lead other communication requirements as they develop.
- Share the communication plan with the supporters of the simplification initiative, such as team members, mayor's office, funding institutions.
- Include communication-related tasks in the project schedule.
- Keep a record of the contact information of stakeholders involved in the initiative.
- Update the communication plan as needed.
- Get feedback from simplification team members about the effectiveness of the communication efforts.

Sample Communication Plan

Content	Form	Target Audience	Quantity and Frequency	Mode of Dissemination	In-charge
Steps in Applying for New Business Permit	Flyers	General Public	1,000 pcs daily for 1 week	Distribution of flyers in public places (e.g. market, commercial centers, City Hall, etc)	Public Information Office
The Simplified Business Permitting and Licensing System	2 minute Audio Visual Presentation	On-line users; general public	Continuous starting December	Embed in the LGUs website	IT Office
Requirements in securing business permit	Tarpaulin (4 feet by 8 feet portrait)	Business Permit Applicants	20 pcs	Installation of billboards in strategic locations	General Services Office

10. Hold the public launch

Guide the simplification project team in holding the public launch. This is different from the project launch in the preliminary phase that announced the initiative. In this public launch, the LGU is set to implement the new system.

Mark this event by holding a public launch of the simplified system. Set a date for the event. If possible, select a date that is significant, for example, the foundation anniversary of the LGU or state of the city address.

To make the launch more memorable, hold a signing of a memorandum of agreement with national agencies, or a signing of an executive order implementing the simplified business permitting and licensing system.

Invite the business sector and other key officials to witness the event. Include the media.

Issues and challenges. Project implementation entails costs. For example, the procurement of computer desktops and installation of a network system. If the LGU has no budget for them, expect delays. If the LGU has the budget, allocate enough time for the procurement process, including bidding and awards.

Lessons learned. It is important that you keep the simplification management team involved and informed of the project's progress. This way, the management team can help anticipate problems, prevent them, or address them if they do occur during implementation.

Chapter 5: Monitoring and Evaluation Phase

The implementation phase marks the transition from old to new processes, but it is not the end of the simplification initiative. The LGU needs to determine the results of the simplification initiative by conducting monitoring and evaluation.

It has the following objectives:

- Know the extent to which projects are meeting the intended objectives and desired effects.
- Build greater transparency and accountability on the use of project resources.
- Provide management with a clear basis for decision making.
- Improve future planning and design of projects using lessons learned from project experiences.

Role of the coach. You guide the project team in conducting monitoring and evaluation. At the same time, you do your own monitoring and evaluation.

Tips. Conduct a client satisfaction survey before regulatory simplification, and do another one after a month or two of implementing the new system. You can get a good assessment of the new system by comparing the results of the two surveys.

Templates and references in the Coaches' Resources CD. Business Permitting and Licensing System data capture form

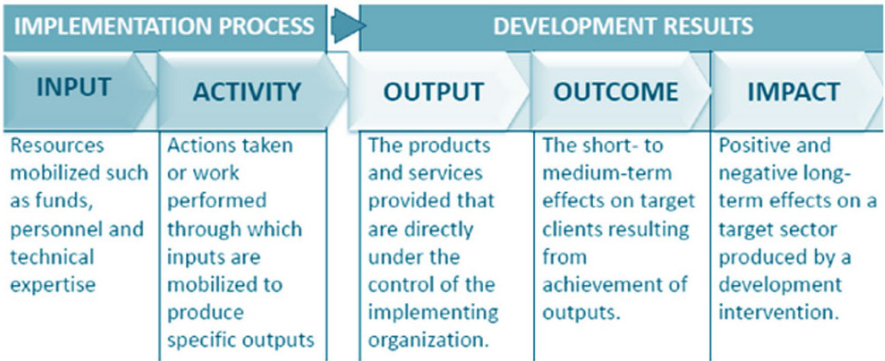
1. Organize the M&E team

Select the members of the monitoring and evaluation team from the LGU staff and external stakeholders such as the business sector, academe, and media. The team has two roles:

- Monitoring, which is the continuous and systematic collection and analysis of data on specified indicators such as processing time and number of steps; and to compare how well the new business permitting and licensing system is being implemented against target results.
- Evaluation, which is the periodic assessment of the design, implementation, outcomes and impact of the new business permitting and licensing system.

2. Define the results chain

A results chain is a graphic outline that explains how a project is supposed to work by describing the logical relationships or the chain of events that links inputs to activities, activities to outputs, outputs to outcomes, and outcomes to impact.



3. Define performance indicators

It is important that the LGU and the business sector agree on the set of indicators at the planning stage in the preliminary phase. Refer to the section Develop a project strategic plan on p.15.

When defining the performance indicators, specify the evidence that the change expected from a development intervention has occurred over time. Indicators can be quantitative (example, number of new business permits), or qualitative (example, client satisfaction with the new process).

You as coach, together with the LGU monitoring and evaluation team, will present the performance indicators to the LGU and the business sector.

The following table lists the typical performance indicators in regulatory simplification:

Typical RS Indicators	
Result Level	Core Indicators
1. Impact	1.1 Number of businesses registered under the reformed process 1.2 Amount of local revenues derived from business registration 1.3 Compliance cost savings 1.4 Level of client satisfaction on reformed process
2. Outcome	2.1 Average time needed to comply with the reformed process 2.2 Number of steps needed to comply with the reformed process 2.3 Number of laws/regulations enacted to implement reforms 2.4 Number of steps/procedures that were eliminated
3. Outputs	3.1 Number of laws/regulations drafted/endorsed to implement reforms 3.2 Number of steps/procedures recommended for elimination 3.3 Number of reports (diagnostic report, RS design proposal, operations manual, etc.) completed 3.4 Number of workshops/seminars/conferences conducted 3.5 Number of participants in workshops/seminars/conferences seminars, conferences,

4. Monitor project implementation and results

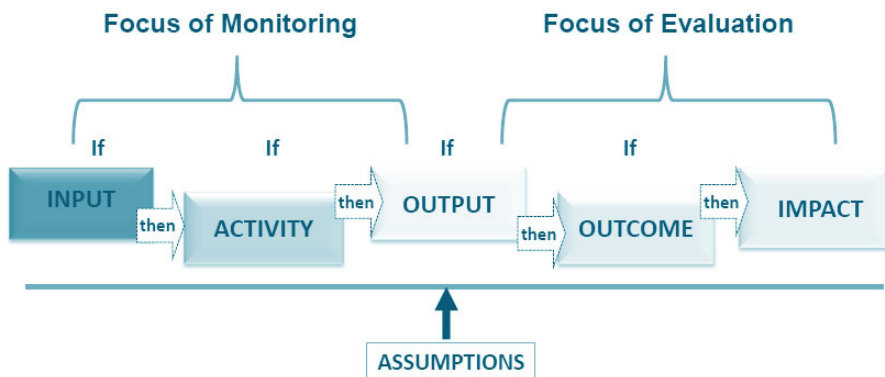
Guide the LGU monitoring and evaluation team in monitoring project implementation and results.

The results of the reform in business permitting and licensing, specifically in the steps and time required in processing permits, are used as performance indicators for Business-Friendliness and Competitiveness in the Seal of Good Local Governance. An LGU that gets the Seal receives a performance-based incentive from the Performance Challenge Fund of the Department of the Interior and Local Government.

a. Result

A result is a change in state or condition following a cause and effect relationship. There are three types of change in a development intervention: outputs, outcomes, and impact.

- **Impact** is the long-term effect of a development intervention. It can be positive or negative, primary or secondary, direct or indirect, intended or unintended. It is the overall result that stakeholders are collectively aiming to achieve. It can be the final outcome or an intermediate outcome.
- **Outcome** is the intended or achieved short-term and medium-term effect of an output. Outcome represents a change in development conditions. It occurs between the completion of an output and the achievement of an impact. It is the immediate outcome or project purpose.
- **Output** is a product, capital goods and service that result from a development intervention. It is related to the achievement of an outcome. It is within the control of the organization.



Collect data on the LGU's performance indicators using the LGU data capture form and LGU progress report form for business permitting and licensing.

b. Measure results

Impact

Impact can be measured in various ways:

- Number of NEW business permits. Compare the number of businesses that were registered the year regulatory simplification was implemented and the previous year. Find out whether there was an increase or decrease. This increase or decrease is the impact in terms of business permitting and licensing.
- Amount of local revenue derived from business permitting and licensing. Compare LGU revenues derived from business permitting and licensing the year regulatory simplification was implemented and the previous year. The increase or decrease, which can be expressed in percentage, is the impact.

The percentage increase in revenues is a measurable performance indicator. The selection of a measurement timeframe may vary. The objective is to compare the revenues before regulatory simplification, and after simplification.

For example:

LGU Performance	2011	2012	Increase	
			Value	Percentage
Revenue collection from New Business Permit Applications	P15,692,450	P21,992,310	P 6,299,860	40.14%
Number of New Business Permits processed/approved	1,101	2,435	1,334	121%

LGU revenues usually increase following the establishment of one-stop shops and simplification initiatives. The following table can be used as a template to show the increase in LGU revenues.

YEAR	No. of new businesses registered	Total amount of fees collected	Total amount of taxes collected
Pre-simplification (one year prior to simplification)			
Post simplification (12 – 18 months after implementation)			
Total amount increase			
Percentage increase			

- Compliance cost savings. This refers to the business sector’s savings from reduced transaction cost. It is the total amount of money that a business saved from the days that were eliminated when complying with the requirements for business permitting and licensing, multiplied by the total number of businesses registered.
- Client satisfaction with the reformed process. This refers to qualitative results, which the LGU can get from business applicants through interviews, surveys or suggestion forms.

Outcome

This refers to a change that happened as a result of the implementation of regulatory simplification. It is a change in the number of steps and amount of time spent processing an application for business permit, a change in policy, and a change in the steps in the process.

- Average time to comply with the reformed process. This refers to the number of minutes, hours, or days spent by the applicant starting with filing his application until he gets his business permit.
- Number of steps to comply with the reformed process. This refers to the steps the applicant has to go through starting with filing his application until he gets his business permit.
- Number of laws or regulations enacted to implement the reform. This refers to the legal or policy issuances made so that the reformed process could be implemented. These issuances can be in the form of an ordinance, executive order, implementing rules and regulations, or administrative order.
- Number of steps or procedures eliminated as a result of the reform. This refers to the steps that the applicant had to complete before the reform, and which are no longer present in the reformed process.

5. Report the monitoring and evaluation findings

Validate and summarize the data from the LGU data capture form and LGU progress report, which were submitted by the LGU monitoring and evaluation team. Submit the report to the regional office and the Local Government Academy.

The Local Government Academy will consolidate and analyze the reports submitted by the coaches of all regions. It will then report the monitoring and evaluation findings to the business permitting and licensing system oversight committee for program and policy making. The Local Government Academy will also share the report with development partners, the business sector, LGUs, and the general public.

6. Conduct a post-initiative assessment of the new process

Guide the project team in consolidating the information gathered by the LGU monitoring and evaluation team and in preparing an assessment report. You as coach will present the report before the simplification project team, simplification management team, the Department of the Interior and Local Government, and the Local Government Academy.

The LGU may also want to present the assessment report to other stakeholders, such as the business sector and national government agencies.

Post-initiative assessment report task list

- a. Allow sufficient time to pass before making a post-initiative assessment report, for example, 6 months after the launch of the simplified process.
- b. Conduct gap analysis by:
 - Reviewing the objectives;
 - Documenting current performance indicators;
 - Comparing original objectives with results; and
 - Comparing original pre-simplification performance with current performance.
- c. Solicit feedback from internal and external stakeholders.
- d. Schedule and conduct a lessons learned exercise.
 - Hold a session in a conducive environment.
 - Ask each participant what worked and what didn't work during the implementation of the regulatory simplification project.
- e. Document positive and negative stakeholder feedback and lessons learned.
- f. Draft recommendations for possible changes and improvements.
- g. Archive the report and associated project materials so that they can be easily retrieved in the future.

7. Conduct continuing M&E of the new process

Ask the monitoring and evaluation team to continue monitoring and evaluating the implementation of the simplified regulatory process. The objective is to determine whether positive results occur over time. If not, the project teams may have to refine the system.

Lessons learned. Although monitoring and evaluation is at the later part of regulatory simplification, it is strongly recommended that monitoring be done at the end of each phase. This way, you and the project team can determine whether the project is achieving its objectives. With this, monitoring and evaluation is done not just for the new system overall but also for the various phases and activities in regulatory simplification.

Chapter 6: Sharing Lessons Learned

The final task in the simplification initiative is the sharing of lessons learned. Capturing lessons learned through a workshop meeting is the process of gathering, documenting and analyzing feedback about events that happened during a project, for the benefit of other project teams in the future. A lessons learned workshop also helps identify actions that, in retrospect, might have been done differently.

The workshop is participated in by the simplification management team and project team, Department of the Interior and Local Government, Local Government Academy, and development partners.

1. Design the lessons learned workshop

Create a matrix of topics:

- What worked
- What didn't work
- What was beyond your control

Group the participants' responses under the following topics:

- Project preparation and planning
- Project execution and delivery
- Human resources: skills, capacity
- Project management

Project areas	What worked?	What didn't work?	What was beyond our control?
Project preparation and planning			
Project execution and delivery			
Human resources			
Project management			

Use color-coded metacards for each matrix topic. Ask participants to write their answers on metacards. Collect the metacards, post them on the wall and ask them clarify their answers if needed.

Avoid putting blame on others

Ask each team member to make a list of what worked, what didn't, what was beyond their control. Have them forward the list to you before the meeting. Compile them into a single list.

Rephrase the comments so that they are stated objectively.

Give time for discussion and reflection. Document the participants' answers, comments, insights, suggestions or recommendations.

2. Present the lessons learned

Prepare a summary report of the lessons learned workshop and present it to management, which includes the mayor, the leaders of the simplification management team and project team, the regional director of the Department of the Interior, Local Government Academy, and development partners. The meeting will also allow management to provide its feedback.

Include the output of the lessons learned workshop and the result of the presentation in your final project report.

Conclusion

Your role as coach and that of the simplification project team continues even after the sharing of lessons learned. In fact it is good practice to continuously monitor the new system. This is because the simplified business permitting and licensing system is not static, it should adapt to the changing context of the LGU.

Continuous monitoring helps you troubleshoot and fine-tune the new system when problems arise. For example, how will the business permitting and licensing system be affected if the LGU's Sanggunian passes a local investment code, if the Sanggunian revises the local revenue code, or if the LGU revises its land use plan?

As discussed in previous chapters, regulatory simplification is a cultural change. It takes time for the behavior and habits of people to adapt to change. This is complicated by the tendency of staff to revert to the old practice. Hence you and the simplification project team should be ready to address this issue.

Abbreviations

ARTA	–	Anti-Red Tape Act
BIR	–	Bureau of Internal Revenue
BOSS	–	Business One-Stop Shop
BPLO	–	Business Permitting and Licensing System
BPLS	–	Business Permitting and Licensing Office
DILG	–	Department of the Interior and Local Government
DTI	–	Department of Trade and Industry
FSIC	–	Fire Safety Inspection Certificate
ICT	–	Information and communications technology
IFC	–	International Finance Corporation
JMC	–	Joint Memorandum Circular
IRR	–	implementing rules and regulations
LGA	–	Local Government Academy
LGU	–	Local Government Unit
M&E	–	Monitoring and Evaluation
MOA	–	Memorandum of Agreement
Pag-IBIG	–	Home Development Mutual Fund
PBR	–	Philippine Business Registry
PCF	–	Performance Challenge Fund
PhilHealth	–	Philippine Health Insurance Corporation
PSP	–	Project Strategic Plan
RS	–	Regulatory Simplification
SMT	–	Simplification Management Team
SPT	–	Simplification Project Team
SSS	–	Social Security System
UAF	–	Unified Application Form

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Arangkada Philippines: A Business Perspective

<http://www.investphilippines.info/arangkada/report/>

DILG – DTI Joint Memorandum Circular No. 01, Series of 2010: Guidelines in Implementing the Standards in Processing Business Permits and Licenses in All Cities and Municipalities

http://dilg.gov.ph/PDF_File/issuances/joint_%20circulars/DILG-Joint%20Circulars-20100813-JMCNo01%20Seriesof2010.pdf

Doing Business

<http://www.doingbusiness.org/>

Ease of Doing Business Philippines

<http://www.doingbusiness.org/data/exploreeconomies/philippines/>

How to Reform Business Licenses

<https://www.wbginvestmentclimate.org/toolkits/business-licensing-toolkit/>

Innovative Solutions for Business Entry Reforms

<https://www.wbginvestmentclimate.org/advisory-services/regulatory-simplification/business-regulation/business-entry/loader.cfm?csModule=security/getfile&pageid=30641>

Investment Climate

<https://www.wbginvestmentclimate.org> Investment

Generation Toolkit

<https://www.wbginvestmentclimate.org/toolkits/investment-generation-toolkit/>

Providing Incentives for Investment

<https://www.wbginvestmentclimate.org/uploads/Providing%20Incentives%20For%20Investment.pdf>

Reforming Business Registration: A Toolkit for the Practitioners

<https://www.wbginvestmentclimate.org/toolkits/reforming-business-registration.cfm>

