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**SUBJECT: OMNIBUS GUIDELINES ON THE REGISTRATION AND LICENSING OF SOCIAL WELFARE AND DEVELOPMENT AGENCIES AND ACCREDITATION OF SOCIAL WELFARE AND DEVELOPMENT PROGRAMS AND SERVICES**

**RATIONALE:**

The Department of Social Welfare and Development (DSWD) encourages the participation of social welfare and development (SWD) agencies in uplifting the quality of life of the poor and the disadvantaged. It aims to strengthen their capacity to fulfill their goals and help them provide accountable and quality service for their target clients and partners by licensing organizations engaged in SWD, as provided for in Department Order (DO) No. 29, Series of 1998 and by accrediting SWD programs and services in accordance with DO No. 1, Series of 1996.

With the widening field of SWD work, these two separate DOs need to be broadened to include specific areas covered in licensing and accreditation and in the consistency of required processes. Also, a variety of service schemes and organizations have emerged in response to the current demands of SWD clients and stakeholders, which are not addressed by the existing policies and guidelines.

Cognizant of these developments, the DSWD has to be responsive to their contribution and role in social welfare and development. Their existence and operation may not necessitate licensing and accreditation, thus, the process of registration is evolved to strengthen partnership of these types of agencies with the government in service of the disadvantaged sectors and the other SWD agencies as well.

Considering the above, this Omnibus Guidelines on the Registration and Licensing of SWD Agencies and Accreditation of SWD Programs and Services (referred to as Guidelines) is formulated to amend existing policies and guidelines and to provide a unified direction in recognizing the contribution and regulating the operation of SWD agencies in the Philippines.

**IMPLEMENTING GUIDELINES:**

Section 1. **LEGAL BASES.** These Guidelines are hereby promulgated by the Department of Social Welfare and Development (DSWD) concerning the registration and licensing of social welfare and development agencies and accreditation of social welfare and development programs and services based on the following legal mandates:

- (a) Republic Act No. 4373 amended by R.A. 5175 - Regulating the Practice of Social Work and the Operation of Social Work Agencies in the Philippines, Article IV, Section 23. - "No social work agency . . . shall operate and be accredited as such unless it shall first have registered with the Social Welfare Administration (now the DSWD) which shall issue the corresponding registration certificate".

- (b) Republic Act No. 5416 – Providing for Comprehensive Social Services for Individuals and Groups in Need of Assistance, Creating the Department of Social Welfare, Section 3, the DSW, its powers and duties. “The Department shall. . .(2). . .set standards and policies to insure effective implementation of public and private social welfare programs; (5). . .accredit institutions and organizations, public and private, engaged in social welfare activity including the licensing of child caring and child placement institutions and provide consultative services thereto.”
- (c) Executive Order 292 otherwise known as the Administrative Code of 1987, Title XVI, Chapter I, Section 3. Functions of the Department. “...to set standards, accredit and monitor performance of all social welfare activities in both public and private sectors.”
- (d) Presidential Decree 603 otherwise known as the Child and Youth Welfare Code as amended. Article 118. “ No private person, natural or juridical shall establish temporarily or permanently any child welfare agency without first securing a license from the Department of Social Welfare and Development.  
Article 120. “The Department of Social Welfare may, after notice and hearing, suspend and revoke the license of a child welfare agency on grounds stipulated.”
- (e) Executive Order 15, Series of 1998. Redirecting the Functions and Operations of the Department of Social Welfare and Development. Section 3, Powers and Functions, (f) “Set standards, accredit and provide consultative services to institutions, organizations, and persons engaged in social welfare activities and monitor performance of institutions, organizations and persons engaged in social welfare activities, both public and private.”

Section 2. OBJECTIVES. – These Guidelines seek to enforce set of standards in the registration, licensing, and accreditation of agencies engaged in social welfare and development for the purposes of authorizing, regulating, and monitoring the operation of such agencies in the Philippines.

Section 3. DEFINITION OF TERMS. – The following are defined in the context of the mandate of DSWD based on Section 1 of these Guidelines:

- (a) *Accreditation* – is the recognition of a SWD program or service that such is implemented by a SWD agency in compliance with appropriate standards evidenced by a Certificate of Accreditation issued by DSWD.
- (b) *Center-based agency* – is a SWD agency that implements residential care service or operates a facility providing care and shelter during part of a day as its only SWD program or service.
- (c) *Child and youth welfare agency* - is any public or private agency providing encouragement, care, and protection to any category of children and youth whether mentally gifted, dependent, abandoned, neglected, abused, with disability, disturbed, or youth offenders (PD 603).
- (d) *Community-based service* – is a social service rendered to individuals, groups, or families in their own homes, alternative family, or in communities, including facilities providing care and shelter during part of a day.

- (e) *Intermediary* – refers to a person, group, network of SWD agencies, or local government unit (LGU) authorized by the DSWD to perform specific functions within the process of registration, licensing and accreditation.
- (f) *License* – is the authority given by DSWD to an agency that is qualified to operate as a Social Work agency, evidenced by a certificate of license to operate.
- (g) *Licensing* – is the process conducted by DSWD in assessing qualification and authorizing a registered SWD agency to operate as a Social Work agency.
- (h) *Operation* – refers to the implementation of SWD programs and services by a social welfare and development agency within a specified geographical coverage or place, using its own or tapped resources and conduits.
- (i) *Registration* - is the system of recording agencies in the registry of SWD agencies in recognition of their contribution or intent to contribute to social welfare and development, evidenced by a certificate of registration issued by DSWD.
- (j) *Registry of SWD Agencies* - is the roster of SWD agencies operating or intending to operate in the Philippines, including licensed and accredited SWD agencies.
- (k) *Residential care service* – is an alternative form of family care providing twenty-four hour group living on a temporary basis to individuals whose needs cannot be adequately met by their own families and relatives over a period of time.
- (l) *Revocation* – refers to the permanent cancellation of the license of a social welfare and development agency, under any of the grounds stipulated in Section 37 of these Guidelines, as ordered by the DSWD.
- (m) ***Social Welfare And Development (SWD) Agency*** – refers to any person whether natural or juridical, private or governmental, profit or non-profit, that engages mainly in programs and services that promote the welfare and development of one or more clientele groups. The clientele groups may be children, youth, women, persons with disabilities, older persons, victims of disasters, disadvantaged families, and communities and individuals, families and communities in crisis. A SWD agency may be in the form of any of the following:

*Sole Proprietorship* – is a legal entity in whose management and control of the business is relegated or governed by a single person.

*Partnership* – is a legal entity where, through a contract of partnership, two or more persons bind themselves to contribute money, property or industry to a common fund, with the intention of dividing the profits among themselves. (Civil Code, Art.1767)

*Corporation* – is an artificial being created by law having the right of succession, and the powers, attributes and properties expressly authorized by law and incident to its existence. (Corporation Code, Section 2). This covers non-government organizations (NGOs), religious societies, corporation sole, civic organizations and associations.

*Social Work Agency* – is a person, corporation, or organization, private or governmental, that engages mainly and generally, or represents itself to engage in social welfare work, whether casework, groupwork, community work, and obtains its finances either totally or in part, from any agency or instrumentality of the government and/or from

the community by direct or indirect solicitations and/or fund drives, and/or private endowment. (RA 4373)

*People's Organization* – refers to a private, non-profit, voluntary group or organization committed to the task of socio-economic development and established primarily for service. (Medium-Term Development Plan 2001 – 2004).

*Resource Agency* – refers to a group, organization, corporation, or entity that provides support or assistance, whether financial or technical, to SWD agencies.

*SWD Network* – refers to a grouping of organizations or agencies, or to an association of organizations that formed themselves for a common goal or to respond to specific issues related to social welfare and development. This may also be referred to as coalition, alliance, or federation.

- (n) *Standards compliance monitoring* - is a set of organized activities conducted by authorized personnel of the DSWD Field Office (FO) or by the Standards Bureau (SB) on a regular basis or on an agreed time frame to keep track of a registered and/or licensed SWD agency's operation in accordance with established SWD standards.
- (o) *Suspension* – refers to the temporary cancellation of the license of an erring SWD agency for a period which in no case shall exceed ninety days under any of the grounds stipulated in Section 36 of these Guidelines, as ordered by the DSWD.

## TITLE I GENERAL POLICIES

Section 4. The following shall be the general policies to be observed relative to registration, licensing, and accreditation of SWD programs and services, handling of cases against SWD agencies, suspension and revocation of license, and standards compliance monitoring.

- (a) Agencies licensed by DSWD prior to the promulgation of these Guidelines shall be considered registered. These agencies shall be issued Certificate of Registration within 60 calendar days from date of issuance of these Guidelines, bearing the effectivity date of the agencies' license. Previously licensed agencies pursuant to DO 29, s. 1998 but are not required for licensing based on these Guidelines shall be duly notified. In such case, relevant provisions of these Guidelines shall take effect after the expiration of the agency's license.
- (b) Only applications for license and accreditation with complete documents as prescribed in these Guidelines shall be officially received by DSWD.
- (c) Receipt of information sheet, application, documents, and reports pertaining to registration, licensing, and accreditation, handling of cases against SWD agencies, suspension and

revocation of license, and standards compliance monitoring shall be acknowledged in writing by the receiving DSWD office within 15 working days from date of receipt.

- (d) Registration, licensing, handling of complaints or information, suspension and revocation of license, and monitoring of SWD agencies operating in only one region shall be the responsibility of the FO covering its operation. That of SWD agencies operating in two or more regions or nationwide shall be the responsibility of the SB.
- (e) Certificates of registration and license of agencies handled by FO shall be signed by the Field Director. Certificates of registration and license of agencies covered by the SB and the certificate of accreditation shall be signed by the Secretary or her/his duly authorized representative.
- (f) The assistance of an intermediary (e.g., network of agencies, LGU) may be authorized by DSWD to perform functions in the process of registration, licensing and accreditation of SWD agencies according to appropriate guidelines.
- (g) Any change in the agency's current name, geographical coverage or place of operation and/or service/s before being effected, shall be reported by such agency in writing to the DSWD office that issued the current certificate of registration, license or accreditation. In case of expansion of area of operation beyond the jurisdiction of the issuing DSWD office, thereby covering more than one region, the latter shall inform the SB in writing for the corresponding amendment of certificate of registration, license or accreditation. In cases where the agency transfers operation to another region, the FO that issued the current certificate of registration, license or accreditation shall inform the FO covering the agency's new area/s of operation, the latter effecting the corresponding amendment. In cases of partial application of suspension and revocation of license as provided for in Section 40 of these Guidelines, the appropriate DSWD Office shall amend the license accordingly.
- (h) The certificates of registration, license, or accreditation are nullified upon the issuance of the amended certificate. The nullified certificate shall be surrendered by the agency to the DSWD office that issued the amended certificate.
- (i) Certificates of registration, license, and accreditation are non-transferable.
- (j) Certificates of registration, license, and accreditation shall be required to be displayed by the SWD agency at all times in a conspicuous place in its head office.
- (k) All FOs shall institutionalize a regular orientation of agencies on registration, licensing, and accreditation where identified agencies, by group or individual, shall be invited to attend. The method of orientation may be planned and implemented with the assistance of the Training Unit of the FO. Content of orientation shall include these Guidelines, all Administrative and Department Orders, Memorandum Circulars, and other issuance pertinent to the regulatory function of DSWD, registration, licensing, accreditation, quality measures and standards, and other significant information as needed by the participants.

- (l) The FO may conduct regular survey among stakeholders for the purpose of identification of SWD agencies, private or public, including that of LGUs, hospitals, courts, churches, schools, and of secondary settings of social work practice within its jurisdiction. The FO may also identify agencies through other strategies as deemed fit and efficient by the FO.
- (m) In the case of an agency that is registered by the Securities and Exchange Commission (SEC) and endorsed to the FO that has no jurisdiction over it, such agency shall be referred by the receiving FO to the concerned FO, copy furnished the SB. Upon determining that such agency covers two or more regions, the SB shall facilitate its registration and inform concerned FOs on action taken on the case.
- (n) If and when an agency is not registered with SEC, unless exempted, such agency shall be referred to SEC for appropriate action.
- (o) A registered SWD agency that plans to cease operation is required to report in writing to the appropriate DSWD Office at least 30 days before termination of its operation, unless due to suspension or revocation of its license.
- (p) All records pertaining to the case against an agency shall be strictly confidential. No information relating thereto shall be disclosed unless the matter has been resolved with finality by the DSWD Secretary or Field Director, in which case status/results may then be made available to the public.
- (q) Written reports on assessment for registration, licensing and accreditation, and on standards compliance monitoring shall form part of the agency's records with DSWD. These may serve as reference or basis for policy formulation, standards, program, systems, or social technology development, and research.
- (r) The revocation of license of an agency shall automatically effect the revocation of its registration and of the accreditation of its program/s and service/s. The agency shall be required to surrender its revoked certificates of license, registration and accreditation to the DSWD Office that issued the revocation order. Appropriate agencies shall be informed of the revocation as cited in Section 43 (b) of these Guidelines.
- (s) Appropriate technical assistance shall be provided by the SB or by the FO to SWD agencies, as applicable and necessary on areas concerning SWD standards, to enable the agencies to be registered, licensed and accredited.

## TITLE II

### REGISTRATION OF SOCIAL WELFARE AND DEVELOPMENT AGENCIES

**Section 5. COVERAGE AND APPLICABILITY.** Agencies that are engaged or signifying intention to engage in social welfare and development shall be listed by the DSWD in its Registry of SWD Agencies in the Philippines. A Certificate of Registration shall be issued to a registered agency as recognition of its contribution to social welfare and development.

SWD agencies that shall be registered by DSWD are the following:

- (a) Sole Proprietorship
- (b) Partnership
- (c) Corporation
- (d) Social Work Agency
- (e) People's Organization
- (f) Resource Agency
- (g) SWD Network

Section 6. REGISTRATION PROCESS. The registration of SWD agencies shall be undertaken by DSWD according to the following process:

- (a) Identification of SWD Agencies. SWD agencies may be identified by DSWD through survey, inventory and/or referrals or information from the following:
  - 1. The agency itself
  - 2. Securities and Exchange Commission (SEC)
  - 3. National Government Agencies (NGAs) and Government-Owned and Controlled Corporations (GOCCs)
  - 4. Local Government Unit (Province, City, Municipality)
  - 5. Non-government Organizations (NGOs)
  - 6. People's Organizations (PO)
  - 7. SWD networks
  - 8. Licensed SWD Agencies
  - 9. An Intermediary
  - 10. Communities/Barangays
  - 11. Church and Religious Groups
  - 12. Private Business Entities/Groups
  - 13. Independent Accreditation Bodies
  - 14. Professional associations and groups
  - 15. Academic institutions (e.g. schools, colleges, universities)
- (b) Notification to SWD Agencies. An agency reported by sources as engaged in SWD shall be notified in writing by SB or by FO, as applicable, indicating that it is informed of the agency's operation or intention to operate within its jurisdiction.

The notification specifies and considers the following, among others:

- 1. That DSWD has been informed of the operation or intent to operate as a SWD agency.
- 2. The purpose of registration shall be introduced to the agency.
- 3. That the agency is invited to an orientation on standards and relevant policies, the date and venue of which shall be specified.

4. The concerned DSWD Office shall enclose Information Sheet (Form DSWD-RLA-01, Annex A) for Registration of SWD Agencies and a self-addressed envelope for the agency's use in returning and submitting documents. The agency shall be requested to accomplish Form DSWD-RLA-01 and send this to the concerned DSWD Office within 15 working days, together with a copy of its SEC registration or copy of bilateral agreement, if exempted from SEC registration.

Exempted from registration by SEC are international organizations and specialized agencies that are doing business in the Philippines as a result of bilateral agreements (Commission on Audit Circular No. 2001-001 dated July 31, 2001).

- (c) Assessment. Based on accomplished Information Sheet and SEC registration (if applicable), the agency shall be assessed by DSWD if its operation or intention to operate is within the field of SWD. Assessment shall have to be completed within 15 working days from date of receipt of complete requirements. The agency shall be informed of the result of the assessment within 15 working days from date of completion of assessment.
- (d) Registration of SWD Agency and Issuance of Certificate of Registration. All agencies that have been assessed as a SWD agency shall be placed in the Registry of SWD Agencies and shall be issued a Certificate of Registration (Form DSWD-RLA-02, Annex B), which shall be sent to the agency within 15 working days from date of completion of assessment.

Section 7. VALIDITY OF CERTIFICATE OF REGISTRATION. The Certificate of Registration shall be valid according to the following circumstances:

- (a) For an agency required for licensing (refer to Title III, Section 11 of these Guidelines), the Certificate of Registration shall be valid throughout the agency's operation unless the license issued by DSWD is revoked.
- (b) For a non-government agency not required for DSWD license, Certificate shall be valid within the effectivity period of SEC registration, unless it has ceased to operate within the purpose/s for which it is registered by DSWD.
- (c) For a government agency, Certificate shall be valid until it has ceased to operate within the purpose/s for which it is registered by DSWD.
- (d) For an agency exempted from SEC registration, Certificate shall be valid within the effectivity period of bilateral agreement between the Philippines and the concerned country/government.

Section 8. REGISTRY OF SWD AGENCIES. All registered, licensed and accredited SWD agencies shall be listed in the Registry of SWD Agencies. This Registry shall be maintained and updated by DSWD every quarter.



The DSWD Central Office (CO) through the Standards Bureau shall establish and maintain the national registry of SWD Agencies (Form DSWD-RLA-03, Annex C) emanating from the SEC, DSWD FO, and other sources. The FO shall be responsible for the regional registry (Form DSWD-RLA-03).

The SB shall inform concerned FO/s within the first month of every quarter, on all SWD agencies within its/their jurisdiction that are registered, licensed, and accredited by the Bureau and those issued suspension or revocation order every quarter.

Section 9. REPORT ON REGISTERED SWD AGENCIES. Registered SWD agencies in the region shall be part of the quarterly report of the region to the SB, which shall be submitted within the first week of the first month of every quarter. A copy of accomplished Form DSWD-RLA-03 for the quarter shall be attached by the FO to the report.

Section 10. SUBMISSION OF SWD AGENCY ANNUAL REPORT TO DSWD. A registered SWD agency shall submit an Annual Report in a form prescribed by DSWD (Form DSWD-RLA-04, Annex D) to the DSWD Office that issued its registration certificate within the first quarter of every calendar year.

If the SWD agency is operating a facility, it shall attach to its Annual Report the required certification from appropriate government agencies as provided for in Section 15 (b) of these Guidelines.

### TITLE III

#### LICENSING OF SOCIAL WELFARE AND DEVELOPMENT AGENCIES

Section 11. COVERAGE AND APPLICABILITY. All SWD Agencies that have been operating or have an intention to operate as a Social Work agency as defined in Section 3 of these Guidelines are **required** to be licensed. These include, but are not limited, to the following:

- (a) All child and youth welfare agencies as provided for in Presidential Decree No. 603 or The Child and Youth Welfare Code of the Philippines classified as follows:
  1. **Child-caring institution** – a facility providing twenty-four hour resident group care service for the physical, mental, social, and spiritual well-being of nine or more mentally gifted, dependent, abandoned, neglected, handicapped or disturbed children, or youth offenders, including abused and exploited children (RA 7610); includes institutions whose primary purpose is education but clients of which, do not return annually to the homes of their parents or guardians in the ordinary course of events for at least two months of summer vacation.
  2. **Child-placing agency** – an institution or person assuming the care, custody, protection and maintenance of children for placement in any child-caring institution or home or under the care and custody of any person or persons for purpose of adoption, guardianship or foster care. The relatives of such child or children within the sixth degree of consanguinity or affinity are excluded from this definition.

3. *Detention home* – a twenty-four hour child-caring institution providing short term resident care for youth offenders who are awaiting court disposition of their cases or transfer to other agencies or jurisdiction.
4. *Shelter-care institution* – facility that provides temporary protection and care to children requiring emergency reception as a result of fortuitous events, abandonment by parents, dangerous conditions of neglect or cruelty in the home, being without adult care because of crisis in the family, or a court order holding them as material witnesses.
5. *Receiving homes* – family-type homes that provide temporary shelter from ten to twenty days for children who shall, during this period, be under observation and study for eventual placement by the DSWD. The number of children in the receiving home shall not at any time exceed nine, provided that not more than two of them shall be under three years of age.
6. *Nursery* – a child-caring institution that provides care for six or more children below six years of age for a part of, or a day, except those duly licensed to offer primarily medical or educational services.
7. *Maternity home* – an institution or place of residence whose primary function is to give shelter and care to pregnant women and their infants before, during, and after delivery.
8. *Rehabilitation center* – an institution that receives and rehabilitates youth offenders or other disturbed children.
9. *Reception and study center* – an institution that receives children with behavioral problems for study, diagnosis, and temporary treatment for the purpose of determining the appropriate care for them or recommending their permanent treatment or rehabilitation in other child welfare agencies.

- (b) SWD agencies providing residential care, or operating a facility providing care and shelter during part of a day, other than those cited in item (a) of this Section.
- (c) SWD agencies implementing community-based services using Social Work methods, i.e. casework, groupwork, and community organization.

A SWD agency that is required to be licensed but continues to operate without such shall be dealt with according to Section 36 of these Guidelines.

Section 12. EXEMPTION FROM LICENSING. SWD agencies mandated to render social work programs and services are exempted from licensing by the DSWD, which include, but are not limited to, the following:

- (a) Social Welfare and Development/Social Service Office of Local Government Units (LGUs)
- (b) Residential Centers and institutions, and other social service facilities run by DSWD and by LGUs
- (c) Social service units or departments of courts, hospitals, and medical centers

Section 13. APPLICATION FOR LICENSE. A registered SWD agency that is required to be licensed shall apply for License to Operate as a SWD agency within one year after date of registration by accomplishing the application for license (Form DSWD-RLA-05, Annex E). This shall be submitted to the

Standards Bureau or to the DSWD Field Office (FO), as the case may be, together with the requirements (Checklist of Requirements, Annex F) as provided for in Sections 14 and 15 of these Guidelines.

Section 14. GENERAL REQUIREMENTS FOR LICENSING. The documents required from all agencies applying for license are the following:

- (a) Accomplished application for license (Form DSWD-RLA-05) and checklist of requirements
- (b) Certification of agency's juridical personality
  - 1. For a sole proprietorship. Taxpayer Identification Number (TIN) (BIR Form 1925) or Certified true copy of DTI Certificate of Business Name Registration
  - 2. For a corporation or partnership. Certified true copy of Certificate of Registration from SEC, Articles of Incorporation or Partnership and Constitution and By-Laws
  - 3. For a cooperative. Certificate of Registration with the Cooperative Development Authority (CDA)
- (c) Certification of having or written commitment to have an appropriate number of Registered Social Worker/s (RSW) according to the following:
  - 1. If implementing or intending to implement residential care service, or operate a facility providing care and shelter during part of a day, at least one full-time RSW for each facility
  - 2. If implementing or intending to operate community-based program/service, at least one full-time RSW for a specified and agreed geographical (whether by region, province, city, municipality, district, or barangay) or program coverage. However, in case of community organization or community development program, a qualified Community Organizer or Community Development Worker may be considered. In case of a nursery, e.g., day care center, at least a part-time RSW to supervise service delivery.

Section 15. SPECIFIC REQUIREMENTS FOR LICENSING. The following documents shall be required from agencies under specific circumstances:

- (a) For SWD agency that is in operation at the time of application
  - 1. Annual report for the last full year of implementation (Form DSWD-RLA-04)
- (b) For an agency providing residential care, or operating a facility providing care and shelter during part of a day
  - 1. Certificate of Fire Safety for the current year
  - 2. Certificate of Building Structural Safety or Certificate of Occupancy for the current year
  - 3. Water and Sanitation Certificate for the current year

- (c) For agency implementing or intends to implement child placement service/s
  - 1. Certification from DSWD or its recognized training agency, institute, or group that the agency's RSW is trained on the specific child placement service
- (d) For SWD agency operating in more than one region
  - 1. Certification from the DSWD FO or from the local government (province or city or municipality, as appropriate) social welfare and development office covering the agency's area/s of operation attesting to the fact of its operation therein.
  - 2. Written agreement of partnership or cooperation between the applying agency and each group, community or organization situated in every region, in case of a tie-up scheme of operation
- (e) For SWD agency that is about to operate or has an intention to operate during application
  - 1. Documents indicating the agency's source of fund to support its intended operation for at least two years including at least the following:
    - 1.1. Written pledge/s of financial support from donors/benefactors
    - 1.2. Work and financial plan for two consecutive years of operation (DSWD-RLA-06, Annex G)
  - 2. Written plan of action specifying agency's commitment to operate within two years

Section 16. APPLICATION FEE FOR LICENSING. An agency applying for license shall be charged an application fee as may be determined by the DSWD and as stipulated in a specific guideline.

Section 17. ASSESSMENT. Application shall be evaluated by DSWD FO or by the SB, as the case may be, through an agency visit by an authorized personnel or intermediary of DSWD within 30 working days after DSWD's receipt of agency's application. As necessary, the agency may be given an orientation on the regulation of SWD agencies' operation. Approval or disapproval of application shall be based on this assessment.

The DSWD shall inform the agency in writing of the result of the assessment within 15 working days after the visit, specifying recommendations, if any.

An agency that is not able to comply with the requirements shall be assisted by the FO in the formulation of a plan of action based on the recommendations of FO or Standards Bureau, as applicable, towards licensing. This plan shall be subject for monitoring by the FO.

Upon determination that the agency has complied with the requirements based on the plan of action, the FO shall recommend for the re-assessment of the SWD agency for licensing.

Section 18. ISSUANCE OF LICENSE TO OPERATE. The license to operate (Form DSWD-RLA-07, Annex H) shall be issued to qualified SWD agency by the concerned DSWD Office together with the written result of DSWD's assessment.

Section 19. ISSUANCE OF LICENSE TO SWD AGENCIES OPERATING IN MORE THAN ONE REGION. Only one license to operate shall be issued to a SWD agency regardless of the coverage of its operation or the number of facilities it operates, provided that location/s of its operation and facilities is/are explicitly indicated in the license under the area/s of operation.

Operation in more than one region shall constitute presence of established branch, office or organization of the agency with particular person/s that directly implement/s the agency's SWD program or service in indicated region/s, or of organized group, or community in two or more regions with which the agency has a written agreement of partnership or cooperation to implement or take part in the implementation of the agency's SWD programs or services in indicated region/s.

Section 20. VALIDITY OF LICENSE. A license is valid for the entire duration of the agency's operation, at the area or areas specified in the license, unless suspended or revoked.

#### TITLE IV

#### ACCREDITATION OF SOCIAL WELFARE AND DEVELOPMENT PROGRAMS AND SERVICES

Section 21. COVERAGE AND APPLICABILITY. Social welfare and development programs and services implemented by the following are required to be accredited by DSWD:

- (a) DSWD
- (b) LGUs
- (c) Licensed SWD agencies
- (d) Registered social service units or departments of hospitals and medical centers

Accreditation of SWD programs and services shall be the function of the Standards Bureau except for Day Care Service (DCS) and other SWD programs and services of which accreditation is decentralized to the FO. Decentralized accreditation of SWD programs and services and accreditation of service providers shall be dealt with according to specific guidelines.

Section 22. NOTIFICATION ON ACCREDITATION. The SB shall notify in writing the SWD agency on accreditation of its SWD programs and services simultaneously with the issuance of certificates of registration or license.

The notification shall include the following:

- (a) That the agency is required to apply for accreditation of its SWD programs and services within prescribed period
- (b) The purpose of accreditation

- (c) The benefits of being accredited and the effects of non-accreditation
- (d) Rendering of appropriate technical assistance (TA) by DSWD as necessary or as requested towards accreditation
- (e) Application form for accreditation (Form DSWD-RLA-08, Annex I) and checklist of required documents (Annex F), to be accomplished and sent to the appropriate DSWD Office within prescribed period.

The SB shall notify DSWD-run agencies or facilities for accreditation. However, the FO managing these agencies/facilities may request for accreditation prior to notification considering their readiness.

Section 23. APPLICATION FOR ACCREDITATION. The accomplished Form DSWD-RLA-09 and checklist of requirements shall be submitted by the SWD agency to the SB within one year from date of issuance of registration and/or license, together with the agency's Annual Report (Form DSWD-RLA-04).

The application shall be acknowledged in writing by SB within 15 working days. Proposed schedule of visit and assessment by DSWD personnel shall be specified in the acknowledgement letter, requiring the agency to have the following documents ready during the visit:

(a) Government

1. Manual of Operation (Suggested Outline, Annex J)
2. For agency implementing residential care service, List and Profile of Clients Currently Served (Form DSWD-RLA-09, Annex K)
3. List and Profile of Agency Personnel/Employees (Form DSWD-RLA-10, Annex L)
4. Work and Financial Plan (Current and incoming year, Form DSWD-RLA-06)

(b) Non-government

1. Manual of Operation (Annex J)
2. Audited Financial Report for the last full year of implementation (Form DSWD-RLA-11, Annex M)
3. For agency implementing residential care service, List and Profile of Clients Currently Served (Form DSWD-RLA-09)
4. List and Profile of Members of the Governing Board or its equivalent body (Form DSWD-RLA-12, Annex N) for corporations
5. List and Profile of Agency Personnel/Employees/Proprietor/Partners (Form DSWD-RLA-10)
6. Work and Financial Plan (Form DSWD-RLA-06)

SB shall seek the agency's confirmation of proposed schedule of visit.

Section 24. ASSESSMENT. Assessment for accreditation shall be conducted by the SB, or intermediary as authorized by DSWD, within the specified dates as confirmed by the agency. The authorized SB personnel or intermediary shall use prescribed methodology, standards, and instruments for the assessment of specific SWD program or service per applicable guidelines issued by DSWD. The agency shall be informed of the result of the assessment within 15 working days from the last day of visit, specifying recommendations, if any.

An agency that is not able to comply with the standards for accreditation shall be assisted by the FO in the formulation of a plan of action based on the recommendations of SB towards accreditation. This plan shall be subject for monitoring by the FO.

Upon determination that the agency has complied with the requirements based on the plan of action, the FO shall recommend for the re-assessment of the SWD agency for accreditation.

Section 25. ISSUANCE OF CERTIFICATE OF ACCREDITATION. The Certificate of Accreditation (Form DSWD-RLA-13, Annex O) shall be issued to a SWD agency that meets the standards prescribed for the implementation or management of a SWD program or service for which it was assessed. The certificate shall be sent to the agency together with the result of assessment.

Section 26. VALIDITY PERIOD OF ACCREDITATION. An accreditation certificate is valid from three to five years from date of issuance based on the rating that the agency garnered in the accreditation process, unless the agency's license is revoked or the implementation of its accredited program or service has ceased or has ended before its expiration.

Section 27. RENEWAL OF ACCREDITATION. The SWD agency is required to apply for renewal of accreditation at least 30 days before date of expiration indicated in the certificate. Application for renewal shall be submitted to SB. The procedure for the renewal of accreditation shall be according to the provisions under Sections 23, 24, and 25 of these Guidelines.

Section 28. NOTIFICATION FOR RENEWAL OF ACCREDITATION. A SWD agency shall be duly notified by the SB if and when it fails to apply for renewal of its accreditation within 30 days after the certificate's expiration. A visit may be conducted by the SB to verify agency's failure to apply for renewal of accreditation.

Section 29. BENEFITS AND INCENTIVES. SWD agencies with DSWD-accredited programs and services are entitled to benefits and incentives including, but not limited to participation in training programs, accessing to fund sources or donors, and others as may be determined by the DSWD in accordance with appropriate policies and guidelines.

## TITLE V

### HANDLING OF COMPLAINTS AND INFORMATION ON SWD AGENCIES

Section 30. COVERAGE AND APPLICABILITY. These Guidelines shall apply to all registered and/or licensed and/or accredited SWD agencies.

Section 31. COMPLAINT AGAINST SWD AGENCY. A complaint is a written and signed information submitted by a person or persons to DSWD on alleged violation by any registered and/or licensed SWD agency, its governing body, a member of its governing body or by its personnel, of any existing law, rules and regulations, and other issuance related to the operation of SWD agencies.

Section 32. INFORMATION ON SWD AGENCY. An information on a SWD agency is a fact or are facts about the agency's alleged violation or action that is given to DSWD or that reaches the attention of DSWD in any of the following forms:

- (a) Report of an authorized personnel or office of DSWD as a result of assessment for registration, licensing, or accreditation, or of monitoring of standards compliance or program/project implementation;
- (b) Verbal information by a person or persons, group, or organization;
- (c) Unsigned letters, documents, or reports;
- (d) Printed materials or written articles in newspaper, magazine, editorial and the like;
- (e) Information sent or received through broadcast (e.g. TV; radio) and electronic media.

In case of verbal and unsigned information, DSWD shall encourage the source to submit written report of alleged violations or actions of the agency being complained or reported. If and when this is not possible, these shall have to be documented by the receiving personnel or office of the DSWD. Printed materials and written articles on agency's alleged violation shall be treated as information. Documented information and printed materials shall be dealt according to the process provided in Section 36 of these Guidelines.

Section 33. WHO MAY FILE A COMPLAINT. A complaint may be filed by the following:

- (a) offended party ;
- (b) parent or legal guardian of a client;
- (c) ascendant or collateral relative of the client (e.g. child) within the third degree of affinity or consanguinity;
- (d) duly authorized officer or social worker of the DSWD;
- (e) officer, social worker or representative of a registered SWD agency;
- (f) Barangay Chairman ; or
- (g) Person/s who has/have personal knowledge of the acts complained or reported for action.

Section 34. REVIEW COMMITTEE. The following review committees are hereby created at the Central and Field Office levels to handle cases against registered and/or licensed agencies.

(a) Central Office Level

1. Chairperson – Director, Standards Bureau
2. Co-Chairperson–Director, Legal Service
3. Members - Personnel authorized by the Secretary coming from Programs and Projects Bureau, Policy, Plans and Information Systems Bureau, Management Group and Operations Group, and NGO Sectoral Representative/s.

(b) Field Office Level

1. Chairperson – Assistant Field Director, or in the absence of an AFD, a personnel authorized by the Field Director
2. Members – Personnel authorized by the Field Director from the following:
  - 2.1. Chief, Technical Assistance Division
  - 2.2. Chief, Operations Division
  - 2.3. Chief, Management Division



- 2.4. Retainer Lawyer or volunteer lawyer
- 2.5. NGO Representative/s of concerned sector
- 2.6. Provincial/City/Municipal Social Welfare and Development Officer in area of concerned agency's operation

Section 35. FUNCTIONS OF THE REVIEW COMMITTEE. The Review Committee shall have the following functions:

- (a) Conduct formal hearing upon receipt of findings and recommendations of the investigator/s assigned/appointed by the SB Director/Field Director.
- (b) Submit recommendations of the Committee to the Secretary/Field Director.
- (c) Recommend to the Secretary/Field Director the filing of appropriate action in court or proper agency of the government in cases of an unlicensed agency and of an agency that has been issued the suspension or revocation order but continues to operate.

The Standards Compliance Division of the SB and the Standards Unit of the FO shall be the technical secretariat to the CO Review Committee and to the FO Review Committee, respectively.

Section 36. PROCEDURES IN HANDLING OF COMPLAINTS / INFORMATION. The following procedures shall be undertaken in handling of complaints or information:

- (a) Complaints or information shall be submitted to and received by the DSWD Office that issued the current registration or license of the SWD agency being complained or reported, or that has jurisdiction over the agency's area/s of operation.
- (b) Upon receipt of a complaint or information against a registered/licensed/accredited agency, the following procedures shall be observed by the appropriate DSWD Office:
  - 1. At the Central Office/Field Office Level, the SB Director/Field Director shall investigate or appoint (an) investigator(s) who will conduct the following preliminary activities:
    - 1.1. Conduct fact finding or investigation on the alleged violation of the agency through:
      - 1.1.1. validation of data
      - 1.1.2. securing or gathering of evidences
      - 1.1.3. execution of sworn statements
      - 1.1.4. dialogue with the concerned agency officials / personnel / clients
      - 1.1.5. conduct of other activities that may expedite the investigation

The fact finding or investigation shall be completed within thirty (30) working days after receipt of the complain/information.

- 2. Prepare and submit report together with supporting evidences within five (5) working days from the completion of the investigation.

- 2.1. If meritorious, report on SWD agencies investigated by the Standards Bureau shall be endorsed to the CO Review Committee, while those investigated by the FO shall be endorsed to the FO Review Committee for appropriate action.
- 2.2. If not meritorious, report shall be forwarded to the Director of the Standards Bureau or of the concerned Field Office, as applicable, for dismissal of case.
3. Inform the complainant/reporting person and the complained agency within 5 working days after the completion of report, on the action taken on the complaint/s filed or information submitted.

(c) If case is found meritorious by the Review Committee and upon the completion of the preliminary activities, formal hearing shall commence and be terminated within 45 days by the Review Committee, following the procedures stated hereunder:

1. To deliberate on the case, the following procedural processes shall be observed:
  - 1.1. Send notice of conference to the concerned parties through personal or substituted service, which is complete in details;
  - 1.2. The non-appearance of the complained party after three (3) consecutive notices shall constitute waiver of the right to present evidence on their behalf;
  - 1.3. The committee must consider the evidence/s presented;
  - 1.4. The evidence/s must be substantial. (Substantial evidence means such reasonable evidence as a reasonable mind accepts as adequate to support its conclusion);
  - 1.5. The decision must be based on evidence presented at the conference, or at least contained on the record and disclosed to the parties affected;
  - 1.6. The committee must act on its own independent consideration on the law and facts of the controversy, and not simply accept the view of a subordinate;
  - 1.7. The committee, in all controversial questions must render its decision in such manner that the parties to the proceedings would know the various issues involved and the reason for the decision reached/rendered.
2. Prepare and submit report with recommendation/s reached by the CO Review Committee to the SB Director and by the FO Review Committee to the Field Director within thirty (30) working days upon receipt of report on fact finding or investigation.
3. The concerned agency/ies and complainant/s shall be informed on the decision reached by the Committee and shall have fifteen (15) days after receipt of such to request for reconsideration.

4. The Review Committee shall meet again to evaluate the merits of the request for reconsideration. The evaluation shall be completed within fifteen (15) working days upon receipt of the request.
5. The CO Review Committee and the FO Review Committee through the Field Director, shall submit their report and resolution to the SB for review.
6. The SB shall endorse the resolution of the Review Committee to the Secretary for concurrence.
7. The SB shall coordinate with concerned offices of DSWD or proper agencies of the government to carry out appropriate action according to the resolution concurred by the Secretary.

## TITLE VI

### SUSPENSION AND REVOCATION OF LICENSE

Section 37. **COVERAGE AND APPLICABILITY.** These Guidelines shall apply to all licensed SWD agencies.

Section 38. **GROUNDS FOR SUSPENSION OF LICENSE.** The license of an agency may be suspended based on the following grounds:

- (a) Mismanagement of funds;
- (b) Violation of any law of the Philippines, rules and regulations, or relevant issuance of the DSWD (e.g. rules on complying with standards of quality service).
- (c) Poor sanitation of facilities and surroundings rendering these unfit for clientele;
- (d) Violation of the agency's Constitution and By-Laws.
- (e) Inability of the agency to take appropriate action on a personnel of the agency who committed a crime involving moral turpitude in connection with his/her functions
- (f) When upon determination by DSWD Review Committee, pending investigation, suspension is warranted to prevent further harm to its clients and to the public.
- (g) Other Similar or related cases

Section 39. **GROUNDS FOR REVOCATION OF LICENSE.** The license of an agency may be revoked based on the following grounds:

- (a) Insolvency or agency is not in a financial position to support and maintain its clientele or to perform the functions for which it was granted license;
- (b) Ceased to operate as social work agency;
- (c) Failure to operate within two years for agencies issued license prior to operation
- (d) Using the agency for immoral purposes, such as using it as a front for child trafficking or child prostitution and other similar acts;
- (e) Commission of any act showing its unworthiness and incompetence to continue acting as a social work agency;

- (f) Falsification of the requirements for registration of social work agencies as enumerated under Sec. 23 of R.A. No. 4373.
- (g) Exploitation, abuse, or neglect of its client/s;
- (h) Inability of the agency to take appropriate action on a personnel of the agency who committed a crime constituting moral turpitude
- (i) Revocation of SEC registration
- (j) Similar cases/Circumstances

**Section 40. PARTIAL APPLICATION OF SUSPENSION AND REVOCATION OF LICENSE.**  
 In cases where an agency operates in more than one region or is operating more than one residential facility, only its concerned branch/es or facility/ies, as the case maybe, which was/were found to have committed any of the grounds stated in Sections 38 and 39, after thorough investigation, shall be subject to the suspension or revocation order.

However, the principal agency to whom the license to operate was issued, would still be held liable should the investigation show that its negligence led to or constituted the commission of the offense.

In case of personnel who have committed the offense, administrative sanction shall be imposed accordingly by the agency. The agency shall not be held liable for such offense unless proven, however, that its negligence led to or constituted the commission of the offense.

Any criminal acts committed by the agency or any of its personnel shall be dealt with in accordance with the existing laws.

**Section 41. ISSUANCE OF SUSPENSION OR REVOCATION ORDER.** The suspension or revocation order shall be issued by the SB or the FO, as applicable, to the concerned agency immediately after the concurrence of the Secretary, or her/his duly authorized representative, through the agency's head, executive director, or authorized representative, at its head office.

**Section 42. SUPERVISION OF AGENCY WITH SUSPENDED LICENSE.** During the suspension period, the SWD agencies issued suspension order shall be under the supervision of the FO based on a plan of action, including a memorandum of agreement on areas of administration. The plan of action shall be formulated by the DSWD Office that issued the suspension order and the concerned agency considering the needs of clients and giving remedy or action on cause of suspension of license. Activities as provided for in Section 43 (e) may be considered, as necessary.

In the case of an agency operating in two or more regions, the SB shall consult concerned FOs in the formulation of the plan primarily considering the situation of clients, DSWD and agency resources, and prevailing local or regional situation. Each program or geographical coverage of the agency's operation shall be referred to the appropriate FO for supervision. The supervising FO shall provide written monthly feedback to the SB regarding the accomplishment of the plan of action during the suspension period.

**Section 43. POST ACTIVITIES TO ISSUANCE OF ORDER FOR SUSPENSION OR REVOCATION OF LICENSE.** The following post activities to the issuance of suspension or revocation order shall be undertaken by the SB or the FO, as the case may be.

- (a) Ensure the provision of technical assistance or resource augmentation to the agency should the need for such be assessed as the measure to resolve/settle the alleged violation/complaint or remedy the cause of suspension of license.
- (b) Inform SEC, funding agencies, the provincial, city, or municipal government/s covering the agency's area/s of operation particularly its social welfare and development/social service departments/units and as necessary, other agencies, on the decision of DSWD.
- (c) Conduct an evaluation during the last month of the suspension period on the agency's plan of action in relation to the cause of suspension. Result of evaluation shall be the basis for recommending for appropriate action.
- (d) File appropriate action in court or proper agency of the government, if the need for such arises (as referred to in Section 35 of these Guidelines).
- (e) Monitor the implementation of decision reached and the completion of activities within 30 working days upon receipt of the revocation or suspension order, which may include:
  1. Identification of SWD agency/ies with similar services for possible transfer of clients. This shall be undertaken in coordination with the concerned FO;
  2. Actual transfer of clients;
  3. Termination/suspension of operation;
  4. Termination/suspension of employees in accordance with the existing labor laws;
  5. Disposition of properties/assets in accordance with agency's by-laws;
  6. Actual transfer of clients' records and case management to the identified SWD agency.

If there is no possible agency of the same programs and services in the area, the FO concerned shall take into its custody the clients, properties needed by clients, records and assume case management until such time an appropriate agency shall have been identified or until the suspension order is lifted.
- (f) Submit terminal report to the Secretary on the agency's closure or on plan of action and its implementation, in the case of agency with suspended license.

**Section 44. RE-APPLICATION FOR LICENSE.** The revocation of the license of a SWD agency to operate does not preclude it from re-applying for a license to operate. This could only be done by the agency if after thorough assessment either by the SB or FO, the agency has proven to have removed or remedied the conditions that have given rise to the revocation of its license to operate.

Procedures prescribed from Sections 13 to 18 of these Guidelines shall be observed when re-applying for a license to operate.

In case of approved re-application for license, the Secretary shall issue a written notice to the offices cited in Section 43 (b) for their information.

TITLE VII  
STANDARDS COMPLIANCE MONITORING

Section 45. **COVERAGE AND APPLICABILITY.** These Guidelines shall cover all registered, licensed, and/or accredited SWD agencies.

The following shall be subject for Standards Compliance Monitoring (SCM):

- (a) On-going operation of a registered, licensed or accredited SWD agency to assess its performance based on standards
- (b) Recommendations of the FO or SB to an agency that is licensed before its operation towards actual operation and corresponding plan of action of the agency
- (c) Recommendations of FO or SB based on assessment towards licensing or accreditation of an agency and corresponding plan of action of the agency
- (d) Recommendations of DSWD for an agency to remedy or remove conditions that gave rise to the suspension of such agency's license and corresponding plan of action of the agency
- (e) Plan of action made by DSWD and concerned agency/ies as a result of suspension or revocation of an agency's license

Section 46. **FUNCTION AND RESPONSIBILITIES.** SCM shall be the function of the SB and the FO with delineation of responsibilities according to the policy stated in Section 4 (d) of these Guidelines:

The SB shall be informed by the FO on the result of its monitoring of regional operation of agencies on a quarterly basis for overall assessment of the state of standards compliance, in aid of policy, standards and strategy development, and recommending for appropriate action.

For agencies under the jurisdiction of SB, the Bureau shall refer to FOs the agencies' activities and specific concerns in the agency's Annual Report or plan of action that are under the FO's jurisdiction for the latter's reference and guidance in providing technical assistance, as applicable and necessary.

Section 47. **METHOD.** Prescribed tools based on appropriate guidelines shall be used by the authorized personnel through any or a combination of the following:

- (a) Review and assessment of records, documents, and reports
- (b) Ocular survey of agency facilities and/or location/s of projects, clients or program/service implementation
- (c) Interview of agency personnel, significant stakeholders and/or clients

Other methods may be used as deemed appropriate by the authorized personnel in agreement with the concerned SWD agency as long as the objective/s of the monitoring is/are achieved.

Section 48. **REGULAR MONITORING.** The SB or FO shall undertake regular monitoring of SWD agencies through the following:

- (a) Assessment of Registered SWD Agency Annual Report as required in Section 10 of these Guidelines

- (b) Assessment of documents as set in Section 15, (b) for licensed SWD agencies that operate a facility providing care and shelter
- (c) Assessment of operation of accredited SWD agency after two years from date of issuance of accreditation

Section 49. PROGRESS MONITORING. The SB or FO shall undertake progress monitoring of SWD agencies through the following:

- (a) Assessment of the extent of implementation of the plan of action made by agency that is licensed before its operation towards actual operation
- (b) Assessment of extent of implementation of the plan of action based on recommendations made by FO or the SB towards licensing or accreditation of the agency
- (c) Assessment of extent of implementation of the plan of action based on recommendations made by FO or the SB to remedy or remove conditions that gave rise to the suspension of such agency's license
- (d) Assessment of extent of implementation of the plan of action based on recommendations made by FO or the SB as a result of suspension or revocation of an agency's license

Section 50. WRITTEN REPORT. Result of all SCM undertaken by SB and FO shall be reported in writing to the SB Director or Field Director, respectively, using form as prescribed in appropriate reporting guidelines.

Regional monitoring of agencies covered by the FO shall be part of its quarterly report to the SB to be submitted every first week of the first month of every quarter using prescribed reporting form.

#### REPEALING CLAUSE

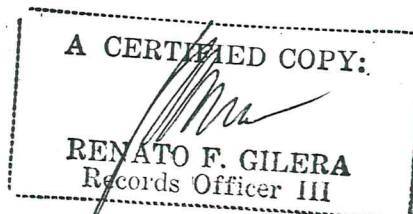
These Guidelines shall revoke Department Order No. 1, Series of 1996, Department Order No. 29, Series of 1999 and all other DSWD guidelines, issuance or their specific provision/s inconsistent herewith.

#### EFFECTIVITY

These Guidelines shall take effect immediately after the date of its issuance and publication in three newspapers of general circulation.

  
**CORAZON JULIANO-SOLIMAN**  
 DSWD Secretary

C: My Documents/Department Order  
 A: SB-RDD file # 9  
 Filename: Omnibus Guidelines-06.07.02



**Forms Attached to Omnibus Rules and Regulations on  
Registration, Licensing and Accreditation  
(with Form Codes)**

ANNEX	FORM TITLE	FORM CODE
Annex A	- Information Sheet	DSWD-RLA-01
B	- Certificate of Registration	DSWD-RLA-02
C	- Registry of SWD Agencies	DSWD-RLA-03
D	- SWD Agency Annual Report	DSWD-RLA-04 *
E	- Application for License	DSWD-RLA-05
F	- Checklist of Requirements	None
G	- Work and Financial Plan	DSWD-RLA-06
H	- Certificate of License to Operate as SWD Agency	DSWD-RLA-07
I	- Application for Accreditation	DSWD-RLA-08
J	- Manual of Operation	None
K	- List and Profile of Clients Served	DSWD-RLA-09
L	- List and Profile of Personnel/Employees	DSWD-RLA-10
M	- Financial Report	DSWD-RLA-11
N	- List and Profile of Members of the Governing Board/Body	DSWD-RLA-12
O	- Certificate of Accreditation	DSWD-RLA-13



Republic of the Philippines  
Department of Social Welfare and Development  
Standards Bureau

**INFORMATION SHEET**

*for the Registration of Social Welfare and Development Agencies*

<b>1. Agency Name :</b> _____ _____ _____ _____	<b>2. Business Address</b> _____ <i>Street, Barangay</i> _____ _____ <i>Municipality/City/Province</i> _____ <i>Telephone/Fax Number(s)/E-mail Address</i> _____
<b>3. Agency Head</b> _____	<b>4. Position Title/Designation</b> _____
<b>5. Registration/Permit No.</b> SEC <sup>1</sup> _____ DTI <sup>2</sup> _____ Mayor's Permit _____ CDA <sup>3</sup> _____	<b>6. Date of Issuance</b> SEC _____ DTI _____ Mayor's Permit _____ CDA _____
<b>7. Specific Objectives of the Agency</b> a. _____ _____ _____ b. _____ _____ _____ c. _____ _____ _____ d. _____ _____ _____ e. _____ _____	

Legend:  
SEC - Securities and Exchange Commission  
DTI - Department of Trade and Industry  
CDA - Cooperative Development Authority

**8. Program Profile**

Types of Program/ Service	Area of Coverage/ Geographical Location			Target Clientele								
	Region	City/ Province	Munici- pality	Children	Youth	Older Person	Women	Victims of Disaster	P W D	Family	Comm- unity	Others (specify)
<i>a. Direct Program/ Service</i>												
<i>a.1 Center-Based</i>												
<i>a.2 Community-Based</i>												
<i>b. Indirect Program/ Service</i>	Region	City/ Province	Munici- pality	Government Organization		Non-Government Organization		People's Organization		Others(Specify)		
<i>b.1. Funding</i>												
<i>b.2. Training</i>												
<i>b.3. Technical Assistance</i>												
<i>b.4. Others (Specify)</i>												

9. *Personnel (Current Year)*

\_\_\_\_\_ *Total Number of Full-time Personnel*  
\_\_\_\_\_ *Total Number of Part-time Personnel*  
\_\_\_\_\_ *Total Number of Volunteers*  
\_\_\_\_\_ *Total Number of Registered Social Workers*

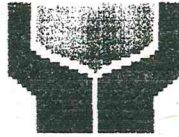
***I HEREBY CERTIFY THAT ALL INFORMATION ON THIS APPLICATION FORM ARE TRUE AND COMPLETE***

\_\_\_\_\_  
*Name and Signature of Authorized Agency Representative*

\_\_\_\_\_  
*Position in the Agency*

\_\_\_\_\_  
*Date*





Republic of the Philippines  
**DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT**  
Batasan Pambansa Complex, Constitution Hills,  
Quezon City

Presents this

# Certificate of Registration

to

\_\_\_\_\_  
Name of Agency

\_\_\_\_\_  
Address

\_\_\_\_\_  
Area Coverage of Operation

*In recognition of its effort to contribute in the upliftment of the marginalized and vulnerable sector of the society, hence is included in the Registry of Social Welfare and Development Agencies of this Department. This shall be valid unless revoked.*

Given this \_\_\_ of \_\_\_\_\_, in Quezon City Philippines.

**LOURDES G. BALANON**  
Undersecretary for Policy, Programs and Standards

Registration No.: \_\_\_\_\_  
Nature of Agency: \_\_\_\_\_

(National/Regional)

## REGISTRY OF SOCIAL WELFARE AND DEVELOPMENT (SWD) AGENCIES IN THE PHILIPPINES

Region: \_\_\_\_\_

Name of Agency	Address	Telephone/ Fax No.	Head of Agency	DSWD Reg. No.	DSWD Lic. No.	DSWD Acc. No.	* Nature of Agency	** Category	Programs & Services	Clientele	Area/s of Operation

\* Nature of Agency

1. Sole Proprietorship
2. Partnership
3. Corporation
4. Social Welfare Agency
5. People's Organization

6. Resource Agency
7. SWD Network

\*\* Categories

1. Community-Based with Facility
2. Community-Based without Facility
3. Residential Care
4. Community Based and Residential Care
5. Child Placing
6. Residential Care and Child Placing

Republic of the Philippines  
Department of Social Welfare and Development  
**Standards Bureau**

**Annual Report**

*Of*

---

*Name of Agency and Address*

*For Year* \_\_\_\_\_

**I. Introduction**

**II. Salient accomplishment**

- a. *In response to organizational objectives, programs implemented and services extended, corresponding activities and number of clients served per service during the year as compared to the targets.*
- b. *Other significant information*

**III. Difficulties/problems encountered or anticipated /and solutions**

**IV. Significant changes in the agency ( eg. organizational structure, manpower, policy making body/board, programs, services, target clientele, coverage of operation, etc.)**

**V. Plan of action for succeeding year**

---

*Head of Agency*

---

*Date*

Republic of the Philippines  
Department of Social Welfare and Development  
Standards Bureau

**APPLICATION FOR LICENSE  
TO OPERATE AS A SOCIAL WORK AGENCY**

<b>1. Agency Name :</b> _____ _____ _____ _____	<b>2. Business Address</b> _____ <i>Street, Barangay</i> _____ <i>Municipality/City/Province</i> _____ <i>Telephone/Fax Number(s)/E-mail Address</i>
<b>3. Agency Head</b> _____	<b>4. Position Title/Designation</b> _____
<b>5. Registration/Permit No. and Date of Issuance</b> SEC _____ DTI _____ Mayor's Permit _____ CDA <sup>a</sup> _____	<b>6. DSWD Registration No.</b> _____  <b>Date of Issuance</b> _____
<b>7. Specific Objectives of the Agency</b> a. _____ _____	
b. _____ _____	
c. _____ _____	
d. _____ _____	
e. _____ _____	

Legend:  
SEC - Securities and Exchange Commission  
DTI - Department of Trade and Industry  
CDA - Cooperative Development Authority





10. Budget

a. Annual Budget (latest) \_\_\_\_\_

b. Source of Funds *Peso Value*

1. Local

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

2. Foreign

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**I HEREBY CERTIFY THAT ALL INFORMATION ON THIS APPLICATION FORM ARE TRUE AND COMPLETE**

\_\_\_\_\_  
*Name and Signature of Authorized Agency Representative*

\_\_\_\_\_  
*Position in the Agency*

\_\_\_\_\_  
*Date*



Republic of the Philippines  
Department of Social Welfare and Development  
Standards Bureau

**CHECKLIST OF REQUIREMENTS**

**A. For Licensing**

**1. General Requirements: (Please check box for document attached to this application)**

Certification of Agency's juridical personality

SEC Registration

Articles of Incorporation or Partnership

Constitution and by-laws

Taxpayer Identification Number (TIN) or;

DTI Certificate of Business Name Registration

Certificate of Registration with Cooperative Development Authority (CDA)

Certification of having appropriate number of Registered Social Worker (RSW) for the following number of:

\_\_\_\_\_ # facilities

\_\_\_\_\_ # of program/project

\_\_\_\_\_ # of branches of operation

**2. Specific Requirements: (Please check box for document attached to this application according on specific circumstances)**

In operation at the time of this application

Annual Report for \_\_\_\_\_

Operating a facility

Certificate of Fire Safety for the year \_\_\_\_\_

Certificate of Building Structural Safety for the year \_\_\_\_\_

Certificate of Occupancy (for newly constructed building) for year \_\_\_\_\_

Water and Sanitation Certificate for the year \_\_\_\_\_

**Implementing Child Placement Services**

**Certificate of training of RSW of the agency on:**

- Foster Care*
- Adoption*
- Legal Guardianship*

**Operating in more than one region**

**Certification from the following DSWD Field Offices, attesting to the fact of agency operation therein, or;**

- |                                     |                                     |                                      |  |
|-------------------------------------|-------------------------------------|--------------------------------------|--|
| <input type="checkbox"/> <i>CAR</i> | <input type="checkbox"/> <i>III</i> | <input type="checkbox"/> <i>VII</i>  | <input type="checkbox"/> <i>XI</i>     |
| <input type="checkbox"/> <i>NCR</i> | <input type="checkbox"/> <i>IV</i>  | <input type="checkbox"/> <i>VIII</i> | <input type="checkbox"/> <i>XII</i>    |
| <input type="checkbox"/> <i>I</i>   | <input type="checkbox"/> <i>V</i>   | <input type="checkbox"/> <i>IX</i>   | <input type="checkbox"/> <i>CARAGA</i> |
| <input type="checkbox"/> <i>II</i>  | <input type="checkbox"/> <i>VI</i>  | <input type="checkbox"/> <i>X</i>    | <input type="checkbox"/> <i>ARMM</i>   |

**Certificate from the Local Government Unit (LGUs) in the following, attesting to the fact of agency operation therein:**

- Provincels* \_\_\_\_\_
- City/ies* \_\_\_\_\_
- Municipality/ies* \_\_\_\_\_

**Operating through/with tie-up scheme**

**Written agreement of partnership or cooperation between the applying agency and the following agency/ies :**

\_\_\_\_\_

\_\_\_\_\_

**Agency is not in operation as of this application**

**Written pledges of financial support from the following donors**

\_\_\_\_\_

\_\_\_\_\_

**Work and Functional Plan for two consecutive years covering** \_\_\_\_\_

**Written Plan of Action specifying agency's commitment to operate within two years.**

**B. For Accreditation**

1. Document attached to this application for accreditation

Annual Report for last full year of implementation

2. Documents to be presented during visit of authorized DSWD personnel/intermediary (please check box for document that is available during application)

**a. For Government SWD Agency**

Manual of Operation

Implementing residential care/operating a facility

List and profile of clients currently served

List and profile of agency personnel/employees

Work and financial plan for (current and incoming year) \_\_\_\_\_

**b. For Non-Government SWD Agency**

Manual of Operation

Audited Financial Report for \_\_\_\_\_

Implementing residential care/operating a facility

List and profile of the governing board or body

List and profile of agency personnel/employee

Work and financial plan for (current and incoming year) \_\_\_\_\_

Accomplished by : \_\_\_\_\_

Position Title/Designation \_\_\_\_\_

Date Accomplished: \_\_\_\_\_

## WORK AND FINANCIAL PLAN FOR CY \_\_\_\_\_

Name of Agency: \_\_\_\_\_  
Address: \_\_\_\_\_

Item	Goals/Objectives	Activities	Targets and Financial Requirements				Sources of Funds
			1st Qtr. Target Amt.	2nd Qtr. Target Amt.	3rd Qtr. Target Amt.	4th Qtr. Target Amt.	
A. Administrative							
B. Programs							

Prepared by: \_\_\_\_\_

Name \_\_\_\_\_

Designation \_\_\_\_\_

Date \_\_\_\_\_



Republic of the Philippines  
**DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT**  
Batasan Pambansa Complex, Constitution Hills,  
Quezon City

# License to Operate

is hereby issued to

\_\_\_\_\_

Name of Agency

\_\_\_\_\_

Address

\_\_\_\_\_

Area Coverage of Operation

*\_\_\_\_\_ for satisfactorily fulfilling the requirements for licensing, thus, is authorized to operate as a social work agency implementing \_\_\_\_\_ for \_\_\_\_\_, with the rights and honors and privileges as well as the obligations and responsibilities appertaining thereunto, in accordance with Section 23, Republic Act 4373 "An Act to Regulate the Practice of Social Work and the Operation of Social Work Agencies in the Philippines and for other purposes".*

*This license to operate is valid unless revoked.*

*Issued this \_\_\_\_\_ of \_\_\_\_\_, in Quezon City Philippines.*

**LOURDES G. BALANON**  
Undersecretary for Policy, Programs and Standards

License No.: \_\_\_\_\_  
Nature of Agency \_\_\_\_\_  
Category \_\_\_\_\_



Republic of the Philippines  
Department of Social Welfare and Development  
Standards Bureau

**APPLICATION FOR ACCREDITATION OF SOCIAL WELFARE AND DEVELOPMENT  
PROGRAMS AND SERVICES**

Status: (Please check appropriate box)

- New Application  
 Renewal

Category: (Please check appropriate box)

- Community-Based with Facility  
 Community-Based without Facility  
 Residential Care  
 Community Based and Residential Care  
 Child Placing  
 Residential Care and Child Placing

<p>1. Agency Name :</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>2. Business Address</p> <p>Street, Barangay _____</p> <p>_____</p> <p>Municipality/City/Province _____</p> <p>Telephone/Fax Number(s)/E-mail Address _____</p>
<p>3. Agency Head</p> <p>_____</p>	<p>4. Position Title/Designation</p> <p>_____</p>
<p>5. Registration/Permit No. and Date of Issuance</p> <p>SEC<sup>1</sup> _____</p> <p>DTI<sup>2</sup> _____</p> <p>Mayor's Permit _____</p> <p>CDA<sup>3</sup> _____</p>	<p>6. DSWD Certificate No. and Date of Issuance</p> <p>Registration _____</p> <p>License _____</p> <p>Accreditation (if applying for renewal) _____</p> <p>_____</p>
<p>7. Specific Objectives of the Agency</p> <p>a. _____</p> <p>b. _____</p> <p>c. _____</p> <p>d. _____</p> <p>e. _____</p>	

Legend:

- SEC - Securities and Exchange Commission  
DTI - Department of Trade and Industry  
CDA - Cooperative Development Authority



10. Budget

a. Annual Budget (latest) \_\_\_\_\_

b. Source of Funds

Peso Value

1. Local

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2. Foreign

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11. Proposed Date of Accreditation Assessment

I HEREBY CERTIFY THAT ALL INFORMATION ON THIS APPLICATION FORM ARE TRUE AND COMPLETE

\_\_\_\_\_  
*Name and Signature of Authorized Agency Representative*

\_\_\_\_\_  
*Position in the Agency*

\_\_\_\_\_  
*Date*



## GUIDE IN THE PREPARATION OF MANUAL OF OPERATION

### I. Introduction/Rationale

- State how the agency came about
- State particular needs/problems of targeted community the agency wants to address

### II. Vision, Mission and Goals/Objectives of the agency

- Explicitly state the Vision and Mission of the agency
- State the goals of the agency
  - ✓ Goals are broad statements of intent and desired long-term outcomes of programs
- State the objectives of the agency?
  - ✓ The objective should be specific, measurable, attainable, result-oriented, and time-bounded.
  - ✓ Objectives are desired short-term outcomes. These may express the immediate means towards which efforts are directed in order to attain the goal.

### III. Clientele

A client is a person, group or community that is in a state or situation of needing and agreeing to seek professional help for the resolution of physical, psychological, emotional and social problems.

The agency's clientele may be one or a combination of, but not limited to the following:

- ✓ Disadvantaged children
- ✓ Out-of-school youth
- ✓ Abused/Exploited Women
- ✓ Persons with disabilities (PWDs)
- ✓ Older persons
- ✓ Distressed/displaced individuals, groups and families
- ✓ Depressed communities

The agency's focus is on a specific clientele it intends to serve considering the agency's Vision, Mission and Goals (VMG) and resources.

### IV. Geographical Coverage of Operation

This refers to specific geographical area/s or place/s where the agency would implement its programs and services.

### V. General Policies

A policy is a definite course of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions. It must be based on and developed in consideration of the agency's VMG.

Agency's policies for organization, administration and management, and programs and services must be stated.

## **VI. Programs and Services**

A program is a coordinated group of activities maintained over a period of time aimed at producing specific types of services directed to the achievement of an objective or set of objectives, e.g. income-generating program, day care program, etc.

A service is a set of specific activities provided by the agency to concretely answer the needs and problems of target clientele.

- The agency's programs and services must be designed to achieve agency objectives.
- The programs and services should be described in detail.
- Specific procedures and implementing guidelines of the programs and services should be stated including corresponding structures and systems of the organization responsible in every phase or component of the program or service.

## **VII. Organization and Administration**

- The organizational structure of the agency must be able to provide a clear definition of responsibilities and duties of the governing body, its management personnel and its service providers. Relationships between and among persons and functions must be described.
- The organizational chart should indicate flow of work and other activities.
- Policies and systems of the agency in terms of administration must be stated.

Some areas to be considered are:

- ✓ Personnel/Human Resource Management/Development
- ✓ Financial Management
- ✓ Property and Supplies Management
- ✓ Communication and Information system

## **VIII. Personnel**

- Enumerate each position, stating job title, qualification standard, job description and area/s of responsibility.
- State corresponding salaries and benefits if any. Area of responsibilities.
- State the number of personnel per program or organizational function
- ✓ Note that number of personnel must be adequate in accordance with appropriate standards.
- The agency personnel may be composed of paid staff or volunteers. Such must be indicated specifically.
- Describe how the personnel in the organization are supervised; describe system of supervision.

## **IX. Budget**

- Indicate agency's annual budget
- Indicate agency's source/s of fund, local and or foreign.
- Indicate corresponding financial support for specific programs, services and activities of the agency

## **X. Monitoring and Evaluation**

- *Describe the system that the agency uses to ensure that the programs and services are well implemented.*
- *Enumerate and describe the methods and tools in monitoring and evaluation; explain how these are used or are done in the context of the organization and of programs and services.*

## **XI. Reporting /Recording System**

*Social welfare and development agencies must keep records of its activities. These records provide important information to the agency especially where it has to make decisions about expanding, changing or terminating programs and services, and for reporting to the community and donors on how funds have been used.*

- *Describe the records system of the agency for:*
  - ✓ *programs and services and;*
  - ✓ *organizational/administrative functions.*
- *Indicate each report being made by the agency for the above-mentioned areas, describing its content, purpose, user, and frequency of preparation..*





Republic of the Philippines  
 Department of Social Welfare and Development  
**Standards Bureau**

**List and Profile of Personnel/ Employees**

*Name of Agency*

Name of Personnel Employee	Position Title (Indicate if volunteer)	Salary (per month)	Place of Assignment (Indicate name of office/unit and location)	Educational Attainment	Relevant Training and Experience (Please indicate place and date of training/experience)	Nationality	If Foreigner			Date of Last Examination/ Evaluation		
							Special Work Permit Issued by BI (Pls. Check Appropriate Column)	If Yes Date of Issuance	Period of Effectivity of Permit	Medical	Psycholo- gical	
							Yes	No				

Attested By:

\_\_\_\_\_  
 Chairman of the Board

Certified true and correct:

\_\_\_\_\_  
 Head of Agency

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Date

Republic of the Philippines  
Department of Social Welfare and Development  
Standards Bureau

**Financial Report**  
**Calendar Year \_\_\_\_\_**

Name of Agency: \_\_\_\_\_

1.	<b>Funds Balance of previous year:</b>	P	_____
	<i>Sources</i>		<i>Amount</i>
a.	_____	P	_____
b.	_____	P	_____
c.	_____	P	_____
d.	_____	P	_____
	<b>Total</b>	P	_____
2.	<b>Funds received during current year:</b>	P	_____
	<i>Sources</i>		<i>Amount</i>
a.	_____	P	_____
b.	_____	P	_____
c.	_____	P	_____
d.	_____	P	_____
	<b>Total</b>	P	_____
3.	<b>Expenditures for the period reported:</b>	P	_____
A.	<b>Administrative Expenses</b>		<i>Amount</i>
a.	_____	P	_____
b.	_____	P	_____
c.	_____	P	_____
d.	_____	P	_____
e.	_____	P	_____
	<b>Total</b>	P	_____
B.	<b>Programs and Services Expenses:</b>	P	<i>Amount</i>
a.	_____	P	_____
b.	_____	P	_____
c.	_____	P	_____
d.	_____	P	_____
e.	_____	P	_____
	<b>Total</b>	P	_____
4.	<b>Balance at the End of Calendar year</b>	P	_____

Certified true and correct:

\_\_\_\_\_  
(Accountant Internal)

Noted by:

\_\_\_\_\_  
Agency Head

Republic of the Philippines  
 Department of Social Welfare and Development  
**Standards Bureau**

**List and Profile of Members of the Governing Board/Body**

\_\_\_\_\_  
*Name of Agency*

Name of Member	Position Title	Educational Attainment	Business Address	Home Address	Experience and/or training on Social Welfare and Development (Please indicate place and date of training/experience)	Nationality	If Foreigner		Period of Effectivity of Permit
							Special Work Permit Issued by BI (Pls. Check Appropriate Column)	If yes Date of Issuance	
							Yes	No	

Attested By:

\_\_\_\_\_  
 Chairman of the Board

\_\_\_\_\_  
 Date

Certified true and correct:

Noted by:

\_\_\_\_\_  
 Secretary of the Board

\_\_\_\_\_  
 Head of Agency

\_\_\_\_\_  
 Date