

Republic of the Philippines
Department of Social Welfare and Development

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Administrative Order No. 16
Series of 2012

SUBJECT: REVISED ADMINISTRATIVE ORDER NO. 17 SERIES OF 2008 (RULES AND REGULATIONS ON THE REGISTRATION AND LICENSING OF SOCIAL WELFARE AND DEVELOPMENT AGENCIES AND ACCREDITATION OF SOCIAL WELFARE AND DEVELOPMENT PROGRAMS AND SERVICES)

I. RATIONALE:

The Department of Social Welfare and Development is mandated to set standards, register, license, accredit and provide consultative services to organizations engaged in social welfare and development activities. DSWD regulatory functions enable the government, non-government organizations and the local government units achieve and maintain the standards of social welfare and development (SWD) programs and services and to ensure that the disadvantaged individual, families and communities receive services of quality in non-discriminatory fashion.

The DSWD Administrative Order No. 17 series of 2008 otherwise known as Rules and Regulations on the Registration and Licensing of Social Welfare and Development Agencies and Accreditation of Social Welfare and Development Programs and Services was issued on November 4, 2008 to regulate the operations of the public and private social welfare and development agencies (SWDAs) in the country.

During its three (3) years implementation of the guidelines, the Department through the Standards Bureau (SB) and feedback gathered from the Field Offices and various stakeholders determined that the said guidelines has to be enhanced to further streamline the process involved. This amendment also aims to become more effective and efficient implementation of the guideline and alignment with the re-clustering of the Department.

In line with the current Administration's efforts to promote strong partnership among civil society organizations (CSOs) and strengthen the capability of the SW'DAs while regulating the implementation of their SWD programs and services. Hence, the following underlined words/phrases/sentences are the amended and additional provisions of the Administrative Order No. 17 series of 2008.

II. OBJECTIVES:

1. To regulate and enforce social welfare and development standards to both public and private organizations in the country that engage in social welfare and development activities through registration, licensing and accreditation;

2. To protect the beneficiaries against malpractice, abuse and exploitation by SWDAs;
3. To recognize the contributions of both private and public SWDAs in the Philippines;
4. To strengthen partnership among SWDAs to include accessing of resources between and among them for the empowerment of the disadvantaged, marginalized and vulnerable individuals, families, groups and communities;
5. To promote transparency and accountability of SWDAs to their respective donors, beneficiaries and general public;
6. To enhance grievance mechanism systems and implement sanctions to those who violate the policies and procedures of this guideline; and
7. To strengthen the capability building of SWDAs for better delivery of SWD programs and services.

III. LEGAL BASES

This guideline is hereby promulgated based on the following legal mandates of DSWD:

1. **Republic Act No. 4373 amended by R.A. 5175 of 1965** – An Act to Regulate the Practice of Social Work and the Operation of Social Work Agencies in the Philippines and for other purposes
 - a. 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. Article IV, Section 25 – "The Certificate of Registration issued to any social work agency may be revoked if after due investigation, Social Welfare Administration (now the DSWD) finds that it has failed to perform the function of social work agency or it has violated existing laws, rules and regulations"
2. **Republic Act No. 5416 of 1968** – "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:
 - a. (2) set standards and policies to insure effective implementation of public and private social welfare programs;
 - b. (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.
3. **Presidential Decree 603(The Child and Youth Welfare Code as amended) of 1977**
 - a. **Article 118** - No private person, natural or judicial, shall establish, temporarily or permanently, any child welfare agency without first securing a license from the DSWD.
 - b. **Article 120** - The DSWD may, after notice and hearing, suspend and revoke the license of a child welfare agency on grounds stipulated.
4. **Executive Order 292 (Administrative Code of 1987), Title XVI, Chapter I, Section 3. Powers and Functions, to accomplish its mandates and objectives, the Department shall:**

- a. (7) accredit institutions and organizations engaged in social welfare activities and provide consultative and information services to them;
 - b. (14) set standards, accredit and monitor performance of all social welfare activities in both public and private sectors.
5. ***Executive Order 221 Series of 2003 (Amending Executive Order No. 15 series of 1998, entitled Redirecting the Functions and Operations of the Department of Social Welfare and Development)***
- a. ***Sec. 2 Roles of the DSWD*** - (d) Licensor and accreditor of social welfare development agencies and service providers.
 - b. ***Sec. 3 Powers and Functions of the DSWD*** - (a) 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
6. **Memorandum Circular No. 1 and 6 series of 2012 otherwise known as Re-clustering of Offices, Bureaus, Services and Units (OBSUs) at the DSWD Central Office Standards Bureau Functions**
- a. (1) "Develop national standards on registration, licensing and accreditation of Social Welfare and Development Agencies and service providers"
 - b. (3) Monitor compliance of the FOs, registered, licensed and accredited SWDAs and service providers granted authority to conduct national fund drives

IV. DEFINITION OF TERMS

The following terms are defined as used in this Guideline:

1. ***Accreditation*** - refers to the process of providing official recognition to the social welfare and development programs and services of registered and licensed social welfare agencies (SWAs), after meeting the minimum standards set by the government. It ensures that delivery of programs and services are within set standards. (*Philippine Encyclopedia of Social Work (2000 Edition) Volume 2*)
2. ***Beneficiaries*** - refer to the disadvantaged, marginalized and vulnerable individuals, groups, families and communities availing themselves of any of the services offered by SWDAs. These may include but not limited to the following:
 - a. Abandoned, neglected, orphaned, voluntarily committed, abused and exploited children and other children in need of special protection (CNSP) eg. children in conflict with the law (CICL);
 - b. Out-of-school youth and other youth with special needs;
 - c. Women in especially difficult circumstances (WEDC);
 - d. Persons with disabilities or differently-abled persons;
 - e. Senior citizens;
 - f. Marginalized and disadvantaged individuals, families and communities e.g. indigenous group/s, those in crisis situation/s, internally displaced due to armed conflict and other developmental projects; and
 - g. Victims of natural and man-made calamities/disasters

3. **Community Development Worker** – refers to a person who graduated with a Bachelor degree in Community Development or Social Work and/or other professional who engaged in community organization work.
4. **Complaint** – refers to the reporting of an alleged violation/s filed or reported either in oral or written form by a person/s and/or victims against any existing laws, rules and regulations, and other issuances related to the operation/s of SWDAs committed by any registered, licensed and/or accredited SWDA, managed or operated by the national government agencies, local government units, non-government organizations and peoples organizations.
5. **Fact-finding investigation** – refers to the process of gathering facts/information to determine the veracity of allegations in the complaint against a SWDA.
6. **Intermediaries** – refers to persons, groups, networks of SWDAs who are oriented/trained and authorized by the DSWD to perform specific function/s in the process of registration, licensing and accreditation.
7. **Licensing** – refers to the provision of a legal permit to operate as social welfare agency, after having met or complied with certain standards and requirements.
8. **Operation** – refers to either direct or indirect implementation of social welfare and development programs and services by a SWDA within a specified geographical coverage or place over a period of time using its own or tapped resources and conduits.
9. **Private SWDA** – refers to a group of individuals organized to meet the identified needs of the community or group of people, utilizing community resources and engaged in providing direct or indirect social welfare services to the disadvantaged, the marginalized and the vulnerable. It has its own constitution and by-laws, a governing board responsible for policy formulation, manual of operations and trained personnel. Funds are obtained through direct or indirect solicitations and/or fund drives and /or endowment.
10. **Registered Social Worker** - refers to one who, by accepted academic training and experiences, possesses the skill to achieve the objectives as defined and set by the social work profession and is duly registered with the Professional Regulation Commission after having passed the licensing examination (Dictionary of Social Work Philippine Setting -Leonara S. de Guzman).
11. **Registration** - refers to the official recognition of the operation of a SWDA within the purview of social welfare and development through the issuance of a certificate of registration issued by DSWD and inclusion in the registry of social welfare and development agencies after having complied with the set DSWD requirements.
12. **Registry** – refers to the national roster of registered, licensed and accredited SWDAs.
13. **Revocation** – refers to the cancellation of the registration, license and accreditation certificates of a SWDA for the commission of any of the grounds as provided for in this guideline.
14. **Service Delivery Mode** - refers to the means by which social welfare and development programs and services are delivered which include, but not limited, to the following:
 - a. **Community-based** – refers to the programs and services rendered when the helping process takes place in the community as the primary client system or when social

welfare and development activities are provided to individuals, groups or families while they remain in their homes. It is characterized by interaction between the client and worker in the community in relation to the resolution of identified problems and concerns.

- b. **Residential-based-** refers to the programs and services where group care is provided to residents under the guidance of a trained staff and within a structured therapeutic environment with the objective of reintegrating him/her with the family or community or in the cases of children, it is until such time when a better alternative parental care has been identified for them.
15. **Social Welfare and Development Agency (SWDA)-** refers to a person, corporation or organization, engaged in providing directly or indirectly, social welfare services 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 endowment. (Philippine Encyclopedia of Social Work 2000 Edition Volume 2). Types of SWDAs shall include:
- a. **Social Welfare Agency (SWA)** – refers to a type of SWDA which employs social worker/s and/or community development worker/s and other paraprofessionals that directly provide remedial, preventive and developmental programs and services to individuals, families, groups and/or communities. These may include:
 - a.1. **Residential-based Agency** – refers to a social welfare/work agency that provides twenty-four (24) hour residential care services for abandoned, neglected or voluntarily committed children and youth, women, persons with disabilities and older persons, among others.
 - a.2. **Community-based Agency** – refers to a social welfare/work agency that implements community based service/s to include senior citizens center, day care center, vocational rehabilitation center, sponsorship/scholarship program, assistance to victims of disaster etc. and social services to individual and families while in their home or in the community.
 - a.3. **Child Placing Agency** – refers to a social welfare/work agency that receives and process applicants to become foster or adoptive parents and facilitate placement of children eligible for foster care or adoption.
 - b. **Auxiliary SWDA** – refers to a type of SWDA which provides supportive activities in the delivery of social welfare and development programs and services to the disadvantaged sector/s. These may include the following:
 - b.1. **People's Organization** - refers to a type of SWDA with a bonafide association of citizens, with identifiable leadership, membership and structure that has demonstrated its capacity to promote the public interest and engage in social welfare and development activities e.g federation of senior citizens, federation of day care workers, youth organization/s and association/s of women and persons with disabilities, among others.
 - b.2. **Resource Agency** – refers to a type of SWDA that provides tangibles such as funds, food, clothing, medicines and shelter; or intangible such as knowledge, skills, courage and hope to help various SWDAs to achieved their goals in providing social welfare and development services for their beneficiaries.

- b.3. **SWD Network** – refers to a group of SWDAs who organized themselves for a common goal in promoting social protection of disadvantaged and vulnerable groups e.g coalition, alliance or federation.
 - c. Resource Agency Providing Direct Services – refers to a type of SWDA which serves both as SWA and Auxiliary SWDA.
- 16. **Social Work Methods** – refers to a problem solving process carried out by social workers in order to solve problems of social function. These shall include the following:
 - a. Casework – refers to a social work method for helping individuals cope with personal problems of social functioning. (Dictionary of Social Work Philippine Setting 1987-Leonora de Guzman)
 - b. Group work – refers to a process and a method through which individuals in groups are helped by a worker to relate themselves to other people and to experience growth opportunities in consonance with their needs and capacities. (Dictionary of Social Work Philippine Setting 1987-Leonora de Guzman)
 - c. Community Organization – refers to a social work method which seeks to assist communities in meeting their needs and/or improving their living conditions. It helps people recognize, analyze and rank their needs and problems and help them solve with indigenous or created resources as much as possible. The models of community organization are community development, social action and social planning. (Dictionary of Social Work Philippine Setting 1987-Leonora de Guzman).
- 17. **Standards Compliance Monitoring** – refers to a set of organized activities conducted by authorized personnel of the Standards Bureau (SB) and/or DSWD Field Offices (FOs) or authorized intermediary on a regular basis or on an agreed timeframe to keep track of the status and operation of registered, licensed and accredited SWDAs in accordance with established social welfare and development standards.
- 18. **Suspension** – refers to the temporary cessation of operation not to exceed one (1) year as a form of penalty imposed to a SWDA for violation of any of the grounds stipulated in this guideline. When the SWDA is under suspension, it shall neither accept nor admit any additional client/s and shall under close supervision of the concerned DSWD-FO

V. GENERAL POLICIES

The following policies shall be observed to regulate registration and licensing of SWDAs and accreditation of social welfare and development programs and services, handling of complaints, suspension and revocation of registration, license and/or accreditation, and standards compliance monitoring.

1. *Transitory Policy*

- a. All private SWDAs operating without a registration and/or license to operate from the DSWD shall be given a period of one (1) year to apply for registration and license to operate with the DSWD from the date of the effectivity of this guideline. Non-compliance to be registered and/or licensed with DSWD shall be reported to SEC and/or other regulatory government agencies that provide juridical personality to the SWDA for appropriate action. Reporting to SEC and/or other regulatory government agencies shall be done by the concerned DSWD Office.

- b. To track the status of those previously registered and/or licensed SWDAs, the concerned DSWD SB and FOs shall notify within sixty (60) working days from the implementation of this guideline, all private SWDAs with expired DSWD registration and/or license to operate shall apply for a renewal of their DSWD issued registration and license to operate and to submit the required documents within six (6) months upon receipt of the DSWD notice. The names of those SWDAs which fail to comply shall be referred to Field Office Review Committee (FORC) for further deliberation and issuance of resolution on the SWDAs revocation of issued registration, license and accreditation certificates as well as delisting from the DSWD registry/data base of registered, licensed and accredited SWDAs.

2. Coverage

- a. Registration – shall cover an Auxiliary SWDA that intends to/currently engaged in social welfare and development activities.
- b. Registration and License – shall cover private Social Welfare Agencies including Resource Agencies providing direct services to their beneficiaries.
- c. Accreditation - shall cover all licensed SWAs and Resource Agencies providing direct services, DSWD, local government units (LGUs) and other national government agencies (NGAs) implementing social welfare and development programs and services.

3. Exemption

The following are exempted from the registration and license and will only be subjected to accreditation:

- a. LGU community based and residential care services
- b. DSWD community based and residential care services
- c. National Government Agencies (NGAs) and Government Owned and Controlled Corporations (GOCCs) Early Childhood Care and Development (ECCD) Services like Day Care and Child Minding Services etc.

4. Application and Issuance of Registration, License and Accreditation

- a. Registration would apply to Auxiliary SWDAs while registration and licensing would apply to SWAs including Resource Agencies providing direct services. Application for registration or registration and license of a private SWDA operating within a region shall be filed at the concerned DSWD FO while those SWDA operating in more than one region shall be filed at the Standards Bureau.
- b. Concerned DSWD Standards Bureau and Field Offices shall conduct an orientation to all SWDAs in their respective jurisdiction, whether newly registered or for renewal of registration and license. The orientation shall be planned and implemented by the concerned DSWD Office. Content of orientation may include: (a) relevant Administrative Orders, Memorandum Circulars, and other issuances pertinent to the regulatory functions of DSWD, (b) case management, (c) governance, (d) quality measures and standards, and (e) other significant information as needed by the SWDAs.

- c. The Standards Bureau shall be responsible for the accreditation of SWD programs and services of registered and licensed SWAs. The DSWD FO shall be responsible for the accreditation of ECCD programs and services and SWD programs and services where accreditation of such is decentralized to the DSWD FO. Decentralized accreditation of SWD programs and services and accreditation of service providers shall be assessed per applicable guide/lines issued by the DSWD.
- d. Accreditation shall be conducted per facility/center, per implementation of community based programs and services and per area/s of coverage. Further, accreditation assessment of all the programs and services of the concerned SWAs and Resource Agencies providing direct services shall be assessed within the three (3) years validity period of the issued registration certificate and license to operate. The concerned DSWD-FO shall conduct pre-accreditation assessment at least one (1) month prior the Standards Bureau's scheduled accreditation assessment. Non-application for accreditation of SWD programs and services shall be ground for non-renewal of the registration certificate and license to operate.
- e. The DSWD Secretary or his/her duly authorized representative shall sign the certificates of registration, license to operate, and accreditation. Those issued by the Standards Bureau shall be signed by the Undersecretary for Institutional Development Group while those certificates issued by the DSWD FOs shall be signed by their respective Regional Directors.

5. Documentary Requirements

The DSWD, after thorough assessment, shall require the submission of documents from SWDAs applying for registration, licensing and accreditation, including additional set of requirements which are deemed necessary to establish compliance to appropriate policies and standards.

To facilitate the application for registration, licensing and accreditation of SWDA, two (2) copies of the following documents shall be submitted to the concerned DSWD Office for assessment. However, if DSWD has records/files of the updated required documents, it shall no longer be required from the applicant SWDA:

<i>Requirements</i>	<i>Processes</i>		
	<i>Registration</i>	<i>Licensing</i>	<i>Accreditation</i>
a. Accomplished Application Form	✓	✓	✓
b. Certified true copy of Certificate of Registration and Articles of Incorporation and by-laws indicating that the SWDA's primary purpose is within the purview of social welfare and development issued by any of the following regulatory government agencies that gives a juridical personality to a SWDA to operate in the Philippines: b.1. SEC – for a non-stock, non-profit or non-stock profit-oriented-entity b.2. CDA – for a Cooperative	✓	✓	✓

Requirements	Processes		
	Registration	Licensing	Accreditation
c. Updated certification e.g. Certificate of Corporate Filing/Accomplished SEC General Information Sheet or Certificate of Good Standing from any of the above-mentioned regulatory government agencies on the SWDA's status of operation if the date of registration with the concerned regulatory government agency is more than <u>five (5) years</u> prior to application.	✓	✓	
d. Profile of governing board or its equivalent	✓	✓	✓
e. Profile of employees	✓	✓	✓
f. Work and Financial plan	✓	✓	✓
f.1. <u>SWDA intending to operate and operating not more than 1 year -- at least 6 months</u>			
f.2. <u>SWDA operating more than one year - at least two (2) succeeding years</u>			
g. Manual of Operation/Handbook containing the SWDAs program and administrative policies, procedures and strategies to attain its purpose/s among others	✓	✓	✓
h. For those already operating prior to the application, if applicable:	✓	✓	✓
h.1. Annual Accomplishment Report of the previous year			
h.2. Audited Financial Report of the previous year. Audited Financial Report submitted to SEC, CDA and/or Bureau of Internal Revenue (BIR) shall be accepted. <u>However, financial report conform to the DSWD template shall also be submitted. For those SWDAs with a total revenue of less than Php 500,000, an unaudited financial statement prepared by the Financial Officer and concurred by the Head of Agency may suffice.</u>	✓	✓	✓
h.3. Profile of client/beneficiary/community served/caseload inventory for the preceding and current year			✓
i. For those operating in more than one region:			
i.1. Validation assessment report from <u>any of the following</u> attesting to the existence and status of operation of	✓	✓	

<i>Requirements</i>	<i>Processes</i>		
	<i>Registration</i>	<i>Licensing</i>	<i>Accreditation</i>
<p>the SWDA in the area/s of jurisdiction.</p> <ul style="list-style-type: none"> • <u>DSWD-FO/s</u> • <u>Local Government Unit/s</u> • <u>ABSNET Regional/Cluster</u> <p><u>If not available upon SWDA's application, the Standards Bureau shall request such certification of existence from the concerned DSWD-FOs in which the latter is expected to provide response fifteen (15) working days upon receipt of the Bureau's request.</u></p> <p><u>If Auxiliary SWDA, a certified true copy of the written agreement of partnership or cooperation between the agency and its partner to implement or take part in the implementation of the SWDA's SWD programs or services in specific region/s e.g Memorandum of Agreement (MOA), Contract of Partnership, among others, may be considered</u></p>			
<p>i.2. <u>List of main and satellite/branch offices to include the contact person/s, address/es and contact number/s and programs and services to be or being implemented, if with satellite/branch offices</u></p>	✓	✓	✓
<p>j. <u>SWA's certificate of hiring of residential and community based staff and Certificate of Employment/Appointment of hired full time staff considering the following:</u></p> <p>j.1. <u>A registered social worker/s to supervise and take charge of its social work functions for residential care agencies and community based agencies that caters to beneficiaries that requires case management to include but not limited to child placement, children in conflict with the law (CICL), crisis center, and drop-in center.</u></p> <p>j.2. <u>One (1) RSW is required per location of the residential care facility.</u></p> <p>j.3. <u>For SWDAs, implementing community development or community organizing, a graduate of Bachelor Degree in</u></p>		✓	✓

<i>Requirements</i>	<i>Processes</i>		
	<i>Registration</i>	<i>Licensing</i>	<i>Accreditation</i>
<u>Community Development may be hired. Likewise, other professionals with courses on Behavioural Sciences or Human Development e.g. Psychologist, Sociologist, Teachers, etc. or other professionals who have at least two (2) year work experiences in the field of social welfare and development or social development may be considered to be hired by the SWDA in implementing community based programs and services provided the SWA is in close coordination/partnership with the DSWD or Local Social Welfare and Development Offices for technical assistance</u>			
<p>k. <u>For Child Caring Institution or Residential Care Agency for youth, women, older persons and persons with disabilities, or Center Based Facility in a community based services.</u></p> <p>k.1. <u>List and profile of residents/clients currently served, if applicable;</u></p> <p>k.2. <u>An occupancy permit for a newly constructed facility or Valid Certificate of Annual Building Inspection</u></p> <p>k.3. <u>Updated Fire Safety Inspection Certificate</u></p> <p>k.4. <u>Updated Sanitary Permit or Water Potability Certificate</u></p>		✓	✓
<p>l. <u>For Child Placing agencies:</u></p> <p>l.1. <u>Certification from DSWD FOs or a recognized training agency/institute that the SWDA's Registered Social Worker (RSW) is trained in child placement service e.g adoption and foster care; and</u></p> <p>l.2. <u>List of adoptive/foster families and children for adoption/under foster care, if applicable</u></p>		✓	✓
m. <u>Pre-assessment of concerned Field Office on the readiness of the registered and licensed SWA for accreditation.</u>			✓

6. Membership to ABSNET

All registered, licensed and/or accredited SWDAs, Provincial/City/Municipal Social Welfare and Development Offices (P/C/MSWDOs) and residential care facilities managed by the DSWD and LGUs within the region are automatically qualified to become a member of ABSNET Cluster. Likewise, satellite/branch offices of SWDAs with certificate of registration and/or license to operate issued by the DSWD-Central Office shall also become automatic member of ABSNET Cluster in respective FOs that has jurisdiction over its operation. SB shall advise the registered and/or licensed SWDA to coordinate with concerned FOs on the ABSNET activities in the region. On the other hand, the respective FOs shall involve all the SWDAs in any ABSNET activities.

7. DSWD Intermediary

An intermediary may be authorized by the DSWD through trainings/orientations to perform functions such as processing of registration, licensing and accreditation of SWDAs as well as monitoring of the operations of SWDAs according to appropriate guidelines.

8. Monitoring and provision of Technical Assistance to registered, licensed and/or accredited SWDAs

- a. The DSWD FO shall be responsible for the monitoring of SWDAs operating in their respective territorial jurisdictions regardless of who issued the registration and license to operate. Standards Bureau may also conduct monitoring to SWDAs.
- b. The DSWD FO shall conduct regular survey with or without the assistance of intermediaries for the purpose of identifying SWDAs engaged in SWD activities within its jurisdiction. The DSWD FO may also identify SWDAs through other strategies as deemed fit.
- c. Technical assistance on areas concerning SWD standards shall be provided by the Standards Bureau or by the DSWD FO to SWDAs as necessary. Likewise, the concerned DSWD FO shall conduct at least an annual regional consultative meeting with all registered, licensed and/or accredited SWDAs to discuss issues and concerns encountered as well as to update SWDAs on newly approved policies of the DSWD.

9. Fees and Charges

- a. The DSWD shall charge and collect corresponding processing fees to all private SWDAs applying for new or renewal of registration, licensing or accreditation in accordance with the Administrative Order No. 31 issued by the Office of the President dated October 1, 2012 entitled "Directing and Authorizing All Heads of Departments, Bureaus, Commissions, Agencies, Offices and Instrumentalities of the National Government, including Government-Owned and/or -Controlled Corporations (GOCCs), to Rationalize the Rates of their Fees and Charges, Increase their Existing Rates and Impose New Fees and Charges"). The following shall be the corresponding fees for each process applied for:
 - a.1. Registration of Auxiliary Agency – Php1000
 - a.2. Registration and Licensure of SWA – Php2,500
 - a.3. Accreditation of SWD Programs and Services - Php 2,000 per program per assessment of SWDA to include but not limited to the following:

- i. Residential Based to be charged for every specific location of the facility. For example:
 - If a SWA has three (3) facilities located in 3 different areas such as Quezon City, Manila and Mandaluyong City or in 3 different streets/bangays in one city/municipality, the accreditation fee shall be Php 6,000.
 - If a SWA has two (2) facilities in one compound/area but catering two (2) different sectors such as children and older persons, it shall be charged Php 4,000
 - If a SWA has a facility covering one sector with several cottages in one area/compound, it shall be charged Php 2,000
 - ii. Community Based regardless of number of areas of operation, the fee is per program to wit:
 - Children and Youth Welfare Program which covers child placement services, ECCD Services, Peer Groups Service, Community Based Services for Children in Conflict with the Law (CICL), Supplemental Feeding etc.
 - Women Welfare Program which covers Self-Enhancement Skill Development, Productivity Skills Capacity Building, Maternal and Child Care, and Community Participation Skills Development etc.
 - Persons with Disabilities Welfare Program – which covers Disability Prevention Service, Assistance for Physical Restoration Service, Self and Social Enhancement Service
 - Older Persons Program – which covers Neighborhood Support Services for Older Persons, Home Care Support Service, and Foster Home Program for Older Persons\Persons with Disabilities, etc
 - Family and Community Welfare which covers Parent Effectiveness Services (PES), Responsible Parenthood Service, Empowerment and Reaffirmation of Paternal Abilities, Social Services for Solo Parents, and Self-Employment Assistance etc.
 - Emergency Assistance Program which covers Food/Cash for Work, Disaster Mitigation and Preparedness, Family and Community Disaster Preparedness, and Assistance to Individual in Crisis Situation etc
 - iii. The fees for center based facility in a community based services shall be per facility adopting the principle in residential based program.
- b. SWAs and Resource Agencies providing direct services whose registration certificate and license to operate have been expanded due to accreditation shall only pay the corresponding fees for accreditation.
 - c. The amount collected shall be remitted to the National Treasury, recorded as a Special Account in the General Fund and shall be available to the DSWD through a Special Budget pursuant to Section 35, Chapter 5, Book VI of Executive Order No. 292.

10. Certificates of Registration, Registration and License and Accreditation

- a. The Certificates issued by the concerned DSWD Office shall be used only by the SWDA to which it was issued at the place stated, within the validity period and in the area covered. Certificates are non-transferable.

- b. All Certificates issued to SWDAs shall be displayed at all times in any conspicuous place within the SWDA's office, branch or facility.
- c. Any change in the SWDA's current name, office address, geographical coverage or place of operation and/or service/s shall be reported by such SWDA in writing within fifteen (15) working days starting from the said incurred change to the DSWD Office that issued the certificate of registration, license or accreditation.
- d. A registered or licensed SWDA that expands its program implementation and/or areas of operation in another region/s need not apply for separate certificates. However, the SWDA shall submit to the concerned DSWD Office the necessary documents for the corresponding amendment of its registration and license certificates within thirty (30) working days after the effectivity of the said expansion.
- e. In cases where the SWDA transfers its operation to another region, the FO that issued the current certificate of registration or license shall be informed of the new area/s of operation and location within thirty (30) working days prior to the scheduled transfer. After having been notified, the DSWD FO that issued the current certificate of registration and license shall inform the concerned DSWD FO who has jurisdiction on the new area/s of operation of said transfer within fifteen (15) working days after receipt of the SWDAs notification. The DSWD FO who has jurisdiction on the new area/s of operation shall take effect the changes in the certificate of registration and license after eligibility requirements have been complied with.
- f. In case of loss of registration, license or accreditation certificate/s, the head of the SWDA or his/her duly authorized representative shall immediately submit a written report and affidavit of loss to the concerned DSWD Office. The latter shall assess the merit of the reasons stated for the loss and whether it warrants the issuance of a new certificate/license.

11. Benefits and Privileges of Registered, Licensed and/or Accredited SWDAs

Benefits	Status of SWDAs				
	<i>Registered</i>	<i>Licensed</i>	<i>Accredited</i>		
			<i>Level 1</i>	<i>Level 2</i>	<i>Level 3</i>
a. Inclusion in the DSWD's Registry of Registered, Licensed and/or Accredited SWDAs	✓	✓	✓	✓	✓
b. Technical Assistance from the DSWD on programs and services implementation	✓	✓	✓	✓	✓
c. Participation in DSWD's capability building and skills enhancement	✓	✓	✓	✓	✓
d. Endorsement for duty free entry of foreign donations <u>subject to compliance with requirements for availment of foreign donations</u>	✓	✓	✓	✓	✓
e. Financial subsidy or resource augmentation for program implementation <u>subject to availability of funds and compliance</u>		✓	✓	✓	✓

Benefits	Status of SWDAs				
	Registered	Licensed	Accredited		
			Level 1	Level 2	Level 3
with the DSWD requirement					
f. Recommendation to avail of Subsidized Power Rate Program (SPRP) subject to compliance with the DSWD requirements and electric service providers		✓	✓	✓	✓
g. Recommendation for at least 50% discount on service utilities subject to compliance with the DSWD and utility service providers (for residential and center based catering senior citizens)			✓	✓	✓
h. Documentation of good practices and success stories shall be featured in DSWD annual report and Social Welfare and Development Journals as well as posting on the DSWD website			✓	✓	✓
i. Endorsement of project proposals subject to DSWD and donors requirements			✓	✓	✓
j. Nomination for travel local and abroad to participate in relevant training/conferences as part of the Philippine delegation, if any				✓	✓
k. Letter of recognition and cash incentive depending on availability of funds				✓	✓
l. Plaque of recognition and cash incentive depending on availability of funds					✓
m. Recognized as a model SWDA and laboratory for trainings and research					✓
n. Recognized to undertake training on their expertise and charge corresponding fees;					✓
o. Other benefits and privileges may be provided from time to time as deemed appropriate by the Department	✓	✓	✓	✓	✓

12. Cessation of Operation as SWDA

- a. A registered or licensed SWDA planning to cease operation is required to submit a written report as well as the following documents to the appropriate DSWD Office at least thirty (30) working days prior to the termination of its operation:

- a.1. Statement of assets and liabilities/properties;
- a.2. Board resolution of the SWDA's cessation/dissolution to include the following:
 - i. Turnover of the beneficiaries to the DSWD or appropriate licensed SWAs
 - ii. SWDA's assets/properties
- a.3. Current financial status

- b. An assessed application for registration, licensing and/or accreditation that had been held in abeyance and failed to comply with the DSWD set standards/requirements after two reassessment/monitoring visits of the concerned DSWD Office/intermediary with at least six months interval per visit shall make cause the SWDA's suspension of the issued certificate of registration, license and accreditation.

- c. All registered and licensed SWDAs shall submit to the DSWD their annual accomplishment and financial reports certified/audited by an external auditor one hundred twenty (120) days after the end of every fiscal year as provided in its Constitutions and by-Laws. However, for those SWDAs with a total revenue of less than Php 500,000, an unaudited financial statement prepared by its Financial Officer and concurred by the Head of Agency may suffice. Failure to submit for two (2) consecutive years shall cause suspension of the issued certificate of registration, license to operate and accreditation.

- d. The DSWD-FO which issued the revocation order shall inform the concerned SWDAs on the revocation of the certificate/s within fifteen (15) working days upon issuance of the revocation order copy furnish the Standards Bureau. The SWDA is required to surrender its revoked certificates of registration, license and accreditation to the DSWD Office which issued the certificate within fifteen (15) working days upon receipt of the revocation order. The latter shall also inform the concerned DSWD-FO that issued revocation order if the certificate is already surrendered. If the SWDA does not surrender the certificate, the concerned DSWD Office which has jurisdiction over its operation shall visit the SWDA and request them to surrender the certificates. Likewise, the name of the concerned SWDA shall be delisted from the DSWD database of registered, licensed and accredited SWDAs. Further, Securities and Exchange Commission (SEC) or Cooperative Development Authority (CDA) shall also be furnished with copy of the SWDA's revocation order for their reference.

13. Information Dissemination

The concerned DSWD Office shall inform the public of the names of SWDAs that had been issued registration, registration and license and/or accreditation certificates through the DSWD website or other print and broadcast media as well as those whose registration, license and/or accreditation certificates have been suspended or revoked.

14. Data-based

The Standards Bureau and concerned DSWD FOs shall maintain and regularly update the online data base system and/or the national and regional registry of SWDAs respectively to include those registered, licensed and/or accredited public and private SWDAs as well as the DSWD and LGU operated and those exempted from such. The registry shall contain

basic information such as (a) name of the SWDA; (b) head of agency; (c) address; (d) contact numbers; and (e) programs and services, which shall be updated quarterly.

15. Reporting

The list of SWDAs operating in the region shall be part of the quarterly report of the DSWD FO to the Standards Bureau, which shall be submitted within the last week of the last month of every quarter. Likewise, the Standards Bureau shall inform the concerned DSWD FO within the first week of the month of the succeeding quarter of all SWDAs within their jurisdiction that were registered, licensed and accredited by the Standards Bureau.

VI. GENERAL PROCEDURES

1. Registration of SWDA

a. Coverage and Applicability

Any private Auxiliary SWDA that intends to engage or is currently engaged in SWD activities shall apply for registration with the concerned DSWD Office within one (1) year after its registration with the Security and Exchange Commission (SEC) or with the Cooperative Development Authority (CDA) that gives juridical personality to an agency to operate in the Philippines.

b. Procedure

The process of application for registration shall be as follows:

b.1. Application

- i. An Auxiliary SWDA shall initiate its own application for registration; or the concerned DSWD Office shall formally inform in writing the SWDA on the need for registration with DSWD.
- ii. The accomplished information sheet together with the complete requirements shall be filed in two (2) copies by the Head of the Auxiliary SWDA or its duly authorized representative at the concerned DSWD Office. Likewise, the applicant shall pay the required processing fee at the DSWD Finance Service Unit for the issuance of an official receipt.
- iii. The designated staff of the concerned DSWD Office or authorized intermediary shall review, assess the completeness of the documentary requirements and acknowledge the application within five (5) working days upon receipt of the application and requirements containing the following information:
 - Notice of one (1) day assessment/validation visit to the SWDA to be conducted by the designated technical staff of the concerned DSWD Office if the submitted documents are complete.
 - Advise on lacking requirements for submission, if any
 - Provision of technical assistance by the concerned DSWD Office to the SWDA as deemed necessary.

b.2. Assessment.

When the applicant confirms their availability on the proposed date, the DSWD designated technical staff or authorized intermediary shall conduct a one (1) day assessment/validation visit. Assessment visit may include: (a) ocular inspection/observation on the SWDA's office; (b) project sites and interview with agency board, Executive Director, key staff and beneficiaries; as well as (c) collateral interview/s with the Local Social Welfare and Development Office/s, other concerned offices and community leaders where the office/project is located. Exit conference with the SWDA head and/or authorized representative shall be conducted to discuss the findings and recommendations. These shall be documented by the DSWD technical staff or authorized intermediary and duly signed by the SWDA Executive Director or authorized representative.

- i. If favorable for issuance, the concerned DSWD Office shall prepare the assessment and confirmation reports and certificate of registration to be forwarded to the DSWD Undersecretary for Institutional Development Group (if SWDA operation covers more than one region) or to the concerned DSWD-FO Director (if SWDA operates within a region) for approval/signature respectively within fifteen (15) working days after the visit. Likewise, the latter shall review/approve/sign the document and return the documents to the concerned Office for transmittal to the respective SWDA.
- ii. If not favorable for issuance, the concerned DSWD Office shall prepare the assessment and confirmation reports within fifteen (15) working days after the visit. The confirmation report to Auxiliary SWDA shall indicate reason/s for disapproval and technical inputs on the compliance on the requirements to be signed by the Director or authorized representative of the DSWD Office and include the agreed plan of action. The plan shall be subjected for monitoring by the concerned DSWD FO.

b.3. Issuance of Registration Certificate

- i. A Certificate to cover the Registration (see Appendix A) shall be issued to a qualified Auxiliary SWDA regardless of the coverage of its operation or the number of facilities it operates, provided that the location/s of its operation and facilities is/are explicitly indicated in the registration under the area/s of operation.
- ii. The appropriate certificate shall be issued together with the confirmation report on the assessment of the qualified Auxiliary SWDA.
- iii. The certificate shall be awarded to the Auxiliary SWDA in a fitting ceremony at the concerned DSWD Office. All Auxiliary SWDA issued with registration certificate shall be entered in the regional and national registry of SWDAs.

b.4. Monitoring and Technical Assistance

The Auxiliary SWDA whose registration had been held in abeyance shall comply with the lacking requirements for registration within six (6) months after the receipt of the confirmation report from the DSWD. The SWDA shall be monitored and provided technical assistance by the concerned DSWD Office to assist the Auxiliary SWDA complying with the requirements. The concerned DSWD FO shall reassess the latter for registration and if found to be eligible, a Registration Certificate shall be issued to the Auxiliary SWDA. If an Auxiliary SWDA is operating in more than one region, the

concerned FO shall provide recommendation to the Standards Bureau for the issuance of the certificate. Failure to comply with the requirements after two (2) consecutive monitoring visits and technical assistance shall subject the Auxiliary SWDA for referral to SEC or CDA and concerned local government unit for appropriate action/s.

c. Validity of the Certificate

The Certificate of Registration of an Auxiliary SWDA already in operation shall be valid for three (3) years. However, an eligible Auxiliary SWDA that intends to operate shall be issued with a Certificate of Registration valid for one (1) year. If the registered SWDA is not yet in operation after one (1) year, it shall be delisted from the registry of registered SWDAs unless its apply and qualified for the renewal of its certificate which shall be valid for three (3) years.

Likewise, failure to submit annual reports and audited financial statements for two (2) consecutive years shall result to delisting from the registry and the certificate of registration shall be suspended after due notice from the FORC.

d. Renewal of Registration Certificate

The Auxiliary SWDA shall apply for renewal of its Registration Certificate to the concerned DSWD Office following the same requirements and procedure as in applying for registration within sixty (60) working days prior to expiration of the issued certificate of registration. Non-renewal of registration after two (2) consecutive notifications and monitoring visits shall subject the SWDA for referral to FORC for issuance of resolution and referral to SEC or CDA and LGU for appropriate action.

e. Expansion of Area/s of Coverage

To facilitate the amendment on the inclusion of the expanded area/s of operation in the certificate of registration, the Auxiliary SWDA shall file a letter of request for the amendment of its certificate to the Standards Bureau copy furnish the concerned DSWD-FO who issued the existing registration certificate. The SWDA shall submit two (2) copies of the following documents for the facilitation of the corresponding amendment of certificate:

- e.1. Validation assessment report from the DSWD FO/s where the expanded area/s of operation is are located attesting to the existence and status of operation of the SWDA;
- e.2. Original Certificate of registration;
- e.3. Accomplishment report of the previous year;
- e.4. Audited financial report for the previous year; and
- e.5. Work and Financial plan for the two succeeding years

The amendment of registration certificate shall observe the procedures indicated in Section VI item 1.c. The amended registration certificate to be issued shall include the new area/s of operation but shall retain the date of issuance and the number of the original certificate and bearing the new certificate number issued by the Standards Bureau e.g. ... new registration number is DSWD-SB-R-00101-2012 (DSWD-NCR-R-000086-2011) and date issued: December 1, 2012 (November 21, 2011). Likewise, within fifteen (15) days upon approval of the amended certificate, the Standards Bureau shall inform the DSWD FO

that issued the previous certificate and the concerned DSWD-FO/s where the expanded area/s of operation stated on the amended certificate of registration is/are located for their monitoring and technical assistance.

f. Transfer of Area/s of Coverage

The Auxiliary SWDA shall file a request for amendment of its registration and submit the requirements to the DSWD FO that issued the current certificate of registration. The latter shall forward the letter of request and the requirements to the concerned DSWD Office where the new area/s of operation/s is/are situated. The receiving DSWD Office shall then provide appropriate action on the request. Requirements and assessment procedures indicated in the registration of Auxiliary SWDA shall be observed.

The amended registration to be issued shall include the (a) new area/s of operation, (b) main office address, and (c) registration certificate number and date of issuance with validity period of three (3) years, if in operation. The date of issuance and the number of the original certificate shall be retained in the new certificate of registration. Example of new registration number is DSWD-FOIVA-R-00101-2012 (DSWD-NCR-R-000086-2011) and date issued: December 1, 2012 (November 21, 2011).

2. REGISTRATION AND LICENSING OF SWA AND RESOURCE AGENCY PROVIDING DIRECT SERVICES

a. Coverage and Applicability

Any private SWAs and Resource Agencies providing direct services that intend to engage or is currently engaged in social welfare and development activities shall apply for registration and licensing as SWAs as defined in this Guideline within one (1) year after its registration with the SEC or CDA that provides a juridical personality to SWA or Resource Agency providing direct services to operate in the Philippines.

b. Procedure

The process of application for registration and licensing shall be as follows:

b.1. Application.

- i. The private SWAs and Resource Agencies providing direct services shall initiate their own application for registration and licensing; or the concerned DSWD Office shall formally inform in writing private SWAs and Resource Agency providing direct services on the need to be registered and licensed with DSWD.
- ii. The application letter together with the accomplished information sheet and submission of complete requirements shall be filed in two (2) copies by the head of the SWA or Resource Agency providing direct services or its duly authorized representative at the concerned DSWD Office. Likewise, the applicant SWA or Resource Agency providing direct services shall pay the required processing fee at the DSWD Finance Service Unit for the issuance of an official receipt.
- iii. The designated staff of the concerned DSWD Office or authorized intermediary shall review, assess the completeness of the documentary requirements and acknowledge the application within five (5) working days upon receipt of the application and requirements containing the following information:

- Notice of one (1) day assessment/validation visit to the SWA or Resource Agency providing direct services to be conducted by the designated technical staff of the concerned DSWD Office if the submitted documents are complete.
- Advise on lacking requirements for submission, if any
- Provision of technical assistance by the concerned DSWD Office to the SWA or Resource Agency providing direct services as deemed necessary.

b.2. Assessment.

When the applicant confirms their availability on the proposed date, the DSWD designated technical staff or authorized intermediary shall conduct a one (1) day assessment/validation visit. Assessment visit may include: (a) ocular inspection/observation on the SWDA's office; (b) project sites and interview with agency board, Executive Director, key staff and beneficiaries; as well as (c) collateral interview/s with the Local Social Welfare and Development Office/s, other concerned offices and community leaders where the office/project is located. Exit conference with the SWA or Resource Agency providing direct services head and/or authorized representative shall be conducted by the DSWD technical staff to discuss the findings and recommendations. These shall be documented by the DSWD technical staff or authorized intermediary and duly signed by the SWA or Resource Agency providing direct services Executive Director or authorized representative.

- If favorable for issuance, the Standards Bureau or concerned DSWD FO shall prepare the assessment and confirmation reports and certificate of registration and license certificate to be forwarded to the DSWD Undersecretary for Policy and Programs Group (if SWDA operation covers more than one region) or to the concerned DSWD FO Director (if SWDA operates within a region) for approval/signature within fifteen (15) working days after the visit. Likewise, the latter shall review/approve/sign the document and return the documents to the Standards Bureau or concerned FO respectively for transmittal to the concerned SWDA.
- If not favorable for issuance, the concerned DSWD Office shall prepare the assessment and confirmation reports within fifteen (15) working days after the visit. The confirmation report to SWA or Resource Agency providing direct services shall indicate reason/s for disapproval and technical inputs on the compliance on the requirements to be signed by the Director or authorized representative of the concerned DSWD Office and include the agreed plan of action. The plan shall be subjected for monitoring by the concerned FO.

b.3. Issuance of Registration Certificate and License to Operate

- Only one (1) document to cover the Registration Certificate and License to Operate (see Appendix B) shall be issued to a qualified SWA or Resource Agency providing direct services regardless of the coverage of its operation or the number of facilities it operates provided that the location/s of its operation and facilities is/are explicitly indicated in the registration and license certificate under the area/s of operation.
- The appropriate certificate shall be issued together with the confirmation report on the assessment of the qualified SWA or Resource Agency providing direct services.
- The certificate shall be awarded to the SWA or Resource Agency providing direct services in a fitting ceremony at the concerned DSWD Office. All those SWA or

Resource Agency providing direct services issued with said certificate shall be entered in the regional and national registry of SWDAs.

b.4. Monitoring and Technical Assistance

The SWAs and Resource Agencies providing direct services whose registration and license had been held in abeyance shall comply with the requirements for registration and licensing within six (6) months after the receipt of the confirmation report from the DSWD. The SWAs and Resource Agencies providing direct services shall be monitored and provided technical assistance by the concerned DSWD FO to assess their compliance with the said requirements. The concerned FO shall reassess the latter for registration and licensing and if now eligible, shall issue a Registration Certificate and License to Operate to the SWA or Resource Agency providing direct services. If SWAs and Resource Agencies providing direct services are operating in more than one region, the concerned DSWD FO shall provide recommendation to the Standards Bureau for the issuance of the certificates. Failure to comply with the requirements after two (2) consecutive monitoring visits and technical assistance shall subject the SWA or Resource Agency providing direct services for referral to SEC or CDA and concerned local government unit for appropriate action/s.

c. Validity of the Certificate/s

The Registration Certificate and License to Operate of a SWA and Resource Agency providing direct services already in operation shall be valid for three (3) years. However, an eligible SWA or Resource Agency providing direct services that intend to operate shall be issued with a Certificate of Registration valid for only one (1) year. If the registered SWA or Resource Agency providing direct services is not yet operating after a year, it shall be delisted from the registry of registered and licensed SWAs unless its apply and qualified for the renewal of its certificate which shall be valid for three (3) years.

On the other hand, the validity of Registration Certificate and License to Operate shall be extended in every course of accreditation. The additional number of years shall depend on the level of accreditation achieved by the SWA or Resource Agency providing direct services. The validity of the Registration and License shall be upgraded to be synchronized and consistent with the expiration of the accreditation certificate issued.

The DSWD may suspend said certificate due to failure of the SWA or Resource Agency providing direct services to submit their annual report and audited financial statements for two (2) consecutive years after due notice from the FORC.

d. Renewal of Registration and License

The SWA or Resource Agency providing direct services shall apply for renewal to the concerned DSWD Office following the same requirements and procedure as in applying for a new registration and license within sixty (60) working days prior to expiration of the issued registration certificate and license to operate. Failure for non-renewal of registration certificate and license to operate after two (2) consecutive notifications and monitoring

visits shall subject the SWA or Resource Agency providing direct services for referral to FORC for issuance of resolution and referral to the SEC or CDA and the LGU for appropriate action.

e. Expansion of Program Implementation and/or Area/s of Coverage

To facilitate the amendment on the inclusion of the expanded program implementation and/or area/s of operation in the registration certificate and license to operate, the SWAs and Resource Agencies providing direct services shall file a letter of request for amendment of such to the Standards Bureau or concerned DSWD FO copy furnish the concerned DSWD Office who issued the existing registration and license certificate. The SWAs and Resource Agencies providing direct services shall submit two (2) copies of the following documents for the facilitation of the corresponding amendment:

- e.1. Validation assessment report from the DSWD FO/s where the expanded program implementation and/or area/s of operation is/are located attesting to the existence and status of operation of the SWAs and Resource Agencies providing direct services;
- e.2. Original Certificate of registration and license previously issued;
- e.3. Updated manual of operation indicating the added area/s of coverage and policies on the new programs and services being implemented;
- e.4. Additional staff such as Registered Social Worker or Community Development Worker, as to be required;
- e.5. Accomplishment report for the previous year;
- e.6. Audited financial report for the previous year;
- e.7. Work and financial plan for two (2) consecutive years; and
- e.8. Updated building, water potability and fire safety inspections certificates, if residential care or center based facility.

In assessing the request for amendment, the assessment procedure indicated on the registration and license of SWAs and Resource Agencies providing direct services shall be observed.

The amended registration and license to be issued shall include the new programs implemented and the area/s of operation. However, it shall retain the date of issuance and the number of the original certificate/s and bear with the new certificate number issued by the Standards Bureau e.g. new registration and license number is DSWD-SB-RL-00095-2012 (DSWD-NCR-RL-000023-2011) and date issued: November 26, 2012 (October 15, 2011)

Likewise, within fifteen (15) working days upon approval of the amended certificate, the Standards Bureau or the concerned DSWD FO shall inform the DSWD Office that issued the previous registration and license and concerned DSWD FO/s where the expanded program implementation and/or area/s of operation indicated on the amended registration certificate and license to operate are located for their monitoring and technical assistance.

f. Transfer of Area/s of Coverage

The SWA and Resource Agencies providing direct services shall file a request for amendment of its registration and license and submit the requirements to the concerned

DSWD Office that issued the current certificate of registration and license. The latter shall forward the letter of request and the requirements to the concerned DSWD Office where the new area/s of operation/s is/are situated. The receiving DSWD Office shall then provide appropriate action on the request. Requirements and assessment procedures indicated in the registration of SWA and Resource Agencies providing direct services shall be observed.

The amended registration certificate and license to operate to be issued shall include the (a) new area/s of operation; (b) main office address; and (c) registration and license certificate number and date of issuance with a validity period of three (3) years if in operation. The date of issuance and the number of the original certificate/s shall be indicated in the new certificate/s. Example of new registration number is DSWD-FOIII-RL-00123-2012 (DSWD-CAR-RL-000099-2012) and date issued: September 15, 2012 (January 14, 2012).

3. ACCREDITATION OF SOCIAL WELFARE AND DEVELOPMENT PROGRAMS AND SERVICES

a. Coverage and Applicability

All social welfare and development programs and services being implemented by the SWAs and Resource Agencies providing direct services are required to be accredited by DSWD within one (1) year after the issuance of their registration and license. Likewise, social welfare and development programs and services being implemented by DSWD, LGU and other government agencies shall also be required to be accredited.

b. Standards for Accreditation

b.1. The Standards Bureau shall develop the standards and accreditation tool for every social welfare and development programs and services in consultation with the internal and external stakeholders as basis for accrediting the social welfare and development programs and services being implemented by a registered and licensed SWA or Resource Agency providing direct services. A ladderized system for accreditation shall be used wherein the indicators of compliance shall be categorized as follows:

- i. **Must Indicators** -- are mandatory standards which should be complied with since absence of one would compromise the welfare of the beneficiaries and the service implementation as well. This corresponds to level one (1) compliance with accreditation valid for three (3) years.
- ii. **Desired Indicators** -- are higher standards that if complied with, will increase the quality of service implementation. These can be given credit if all must indicators are complied with. This corresponds to level two (2) compliance with accreditation valid for four (4) years.
- iii. **Exemplary Indicators** -- are the highest standards that, if complied with, will make the SWDA exemplary. Similarly, these can be given credit if all must and desired indicators are complied with. This corresponds to level three (3) compliance with an accreditation valid for five (5) years.

b.2. The following shall be the five (5) work areas of standards in the accreditation of the social welfare and development programs and services of SWAs and Resource Agencies providing direct services:

- i. **Administration and Organization** – The clear statement of the vision, mission and goals (VMG) of the SWDA indicating the desired change for its beneficiaries and the program and services it offers to operationalize the VMG. It has a well-defined organizational structure that operates towards an efficient and effective implementation and management of the organization, with sufficient number of trained and competent staff organized to give the best possible services to the beneficiaries. Policies are consistent with the VMG and supportive of international conventions, declarations and other national and local legislations. Appropriate internal and external mechanisms for efficient and effective operation are in place.
 - ii. **Program Management** – Projects and activities are responsive to the needs of the beneficiaries and appropriate resources are allocated and utilized efficiently towards attaining the SWDA's VMG as well as in improving the total well being of the beneficiaries.
 - iii. **Case Management** – A manageable number of beneficiaries in accordance to standards are handled by the registered social workers, community organizers and other qualified paraprofessionals applying (a) specific social work methods; (b) innovative approaches/strategies and processes; and (c) are in accordance with the assessment of the beneficiaries' problems and treatment plan including the systematic documentation of the helping process as basis for determining appropriate interventions and their effects on the beneficiaries being assisted.
 - iv. **Helping Strategies/Interventions** – Provision of any or a combination of services that contribute to the attainment of the helping goals for the beneficiaries.
 - v. **Physical Structures and Safety** – Physical facilities shall be designed to promote the well being of the beneficiaries and the staff. It shall conform to the basic safety standards requirements and program requirements for the day to day operation and implementation of the SWDA's programs and services.
- b.3. The programs and services to be assessed for accreditation shall include but are not limited to the following:
- i. Residential care services for children, youth, women, older persons and persons with disabilities; and
 - ii. Community based programs.

c. Procedure

The following activities shall be observed in the process of accreditation:

- c.1. **Notification on Accreditation.** - The concerned DSWD Office shall indicate in its confirmation report to the SWAs or Resource Agencies providing direct services that they are required to apply for accreditation of its social welfare and development programs and services. Likewise, DSWD, LGUs, NGAs and GOCCs implementing social welfare and development programs and services shall also be informed on the accreditation process. The notification shall include the following:
 - i. That the agency is required to apply for accreditation of its SWD programs and services one (1) year after the date of issuance of their registration certificate and license to operate; or in case of agencies exempted from licensing, within three (3) months from date of such notification;

- ii. The purpose of accreditation;
- iii. The benefits of being accredited and the effects of non-accreditation;
- iv. Rendering of technical assistance by DSWD as necessary or as requested; and
- v. Application form for accreditation and checklist of required documents to be accomplished and sent to the appropriate DSWD Office within prescribed period.

c.2. Application for Accreditation

- i. The registered and licensed SWAs and Resource Agencies providing direct services shall confirm in writing its readiness to be accredited and submit the accomplished application form and the required accreditation documents to the Standards Bureau within one (1) year from the issuance of registration certificate and license to operate. However, application for accreditation and submission of requirements for those SWAs exempted from registration and licensing shall be made within three (3) months from date of notification by the Standards Bureau.
- ii. In cases where information is insufficient to come up with a basis for the conduct of assessment, the Standards Bureau shall request the assistance of the concerned FO and at the same time the latter shall validate the readiness of the SWA and Resource Agencies providing direct services to be accredited.
- iii. The Standards Bureau shall acknowledge the application in writing within five (5) working days upon receipt of the documents. Proposed schedule of accreditation assessment visit by the authorized Standards Bureau technical staff shall be specified in the acknowledgement letter, requiring the agency head, social worker and key staff and a member of the Board, if possible be available and for program and administrative documents to be made available and accessible during the visit. The Standards Bureau shall seek confirmation from the SWA or Resource Agency providing direct services of the proposed visit.
- iv. In the event that a registered and licensed SWA or Resource Agency providing direct services does not apply in writing to the Standards Bureau within the specified period of application, the latter shall reach out to the SWA or Resource Agency providing direct services. The process of reaching out shall include among others reiterating in writing the implication of non-accreditation and/or monitoring and provision of technical assistance by the concerned DSWD Office or intermediary/ies. This is to enable the SWAs and Resource Agencies providing direct services to meet the set standards within a three (3) year period of accreditation from the issuance of registration certificate and license to operate.
- v. Those SWAs and Resource Agencies providing direct services that are exempted from licensing may apply either in writing to the Standards Bureau for the accreditation of their programs and services or the Standards Bureau shall formally notify them in writing on the schedule of the accreditation visit.

c.3. Assessment

- i. The assessment visit shall be conducted in two (2) days by the SB or DSWD authorized/deputized intermediary within the specified dates confirmed by the SWA or Resource Agency providing direct services. The assessment shall include but not limited to the following activities:

- Review of program and administrative records such as case folders, reports, written plans, minutes of meetings, etc;
 - Ocular survey on the agency's office, facilities and project sites and observation of the agency's activities for their respective beneficiaries;
 - Individual or group interview with persons exercising managerial or supervisory functions in the agency;
 - Individual or group interview with program and administrative staff; and
 - Individual or group discussion with beneficiaries on relevant information on service delivery of the SWAs and Resource Agencies providing direct services.
- ii. At the end of the visit, the Standards Bureau technical staff shall conduct an exit conference with the SWA or Resource Agency providing direct services head and other key staff on the summary of findings and recommendations. A SWA or Resource Agency providing direct services that is not able to comply with the standards for accreditation shall be assisted in the formulation of a plan of action based on the recommendations towards accreditation. These shall be documented by the DSWD technical staff or authorized intermediary and duly signed by the SWDA Executive Director or authorized representative.
- iii. The Standards Bureau shall inform the SWA or Resource Agency providing direct services and the concerned DSWD FO on the result of the assessment within fifteen (15) working days after the last day of visit, which includes the following:
- If favorable for issuance, prepare the assessment and confirmation reports and accreditation certificate and endorse to the DSWD Undersecretary for Policy and Programs Group for approval/signature. Once approved, the documents shall be returned to the Standards Bureau for transmittal to the respective SWA or Resource Agency providing direct services.
 - If not favorable for issuance, prepare the assessment and confirmation reports to the SWA or Resource Agency providing direct services which shall indicate areas for improvement with corresponding recommendations to enable to meet the set standards for accreditation. The said confirmation report and plan of action shall be forwarded to the concerned DSWD FO for monitoring and technical assistance.

c.4. Issuance of Accreditation Certificate

The SWAs and Resource Agencies providing direct services who meet the prescribed standards for the implementation of social welfare and development programs and services shall be issued a Certificate of Accreditation (see Appendix C). The certificate shall specify the (a) program/s and service/s that is/are being accredited; (b) area/s coverage/s and (c) validity period of the accreditation. The certificate shall be awarded to the accredited SWAs and Resource Agencies providing direct services in a fitting ceremony at the concerned DSWD Office.

c.5 Monitoring and Technical Assistance

The SWAs and Resource Agencies providing direct services whose accreditation had been held in abeyance shall comply with the set requirements and standards on the implementation of programs and services within six (6) months upon receipt of the

confirmation report from the DSWD. The SWAs and Resource Agencies providing direct services shall be monitored and provided technical assistance by the concerned DSWD Office for assessment if it is complying with the standards. Upon verification that said agency has complied with the requirements stated on the action plan, the concerned DSWD FO shall recommend to the Standards Bureau the reassessment of the SWA or Resource Agency providing direct services for accreditation. However, failure to comply with the agreed action plan on the part of the SWA or Resource Agency providing direct services after two (2) consecutive visits by concerned DSWD Office shall be ground for suspension of their registration certificate and license to operate subject for issuance for FORC resolution.

d. Validity Period of Accreditation

An accreditation certificate is valid from three (3) to five (5) years from date of issuance based on the compliance with the level of standards indicators of the SWAs and Resource Agencies providing direct services garnered in the accreditation process, unless the registration certificate and license to operate of the SWAs and Resource Agencies providing direct services is revoked or the implementation of its accredited program/s or service/s has ceased before its expiration. Likewise, the validity period indicated for the registration and license shall be extended and synchronized with the expiration date of the issued accreditation certificate has been reached.

e. Renewal of Accreditation.

The SWAs and Resource Agencies providing direct services is required to apply for renewal of their accreditation at least sixty (60) working days before the date of expiration indicated in the certificate. Application for renewal shall be submitted to the Standards Bureau following the requirements for renewal and procedures for accreditation. If the SWA or Resource Agency providing direct services fails to apply for renewal of its accreditation within thirty (30) working days after the certificate's expiration, it shall be notified in writing by the Standards Bureau or concerned DSWD FO and a visit may also be conducted to verify the failure to apply for renewal of accreditation. Non-renewal of the SWA's or Resource Agency providing direct services' accreditation after two (2) consecutive notices and monitoring visits from the concerned DSWD Office shall be subjected for suspension and revocation of registration certificate and license to operate after due process at the FORC.

VII. HANDLING OF COMPLAINTS AND INFORMATION ON SWDAs

1. Coverage and Applicability

This Guideline shall apply to all registered, licensed and accredited SWDAs including those exempted from registration and licensing.

2. Information against SWDA

Information on a SWDA may come 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 compliance to standards set for program/project implementation;

- b. Verbal information from a person or persons, group or organization;
- c. Signed or unsigned letters, documents, or reports;
- d. Printed materials or written articles in newspaper, magazine, editorial and the like; and
- e. Information sent or received through broadcast (e.g. TV; radio) and electronic media.

In case of verbal and unsigned information, the concerned DSWD-FO shall conduct a validation of alleged violations or actions of the SWDA being reported. If and when this is not possible, these shall have to be documented by the receiving personnel or office of the DSWD. Documented information and printed materials shall be dealt with according to the procedures in handling complaints/information.

3. Who may File a Complaint

A complaint may be filed by any of the following at DSWD Offices either at the Standards Bureau or Standards Unit:

- 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 SWDA;
- f. Barangay Chairman; or
- g. Person/s who has/have personal knowledge of the acts or reported for action.

VIII. REVIEW COMMITTEES

The DSWD Central Office Review Committee and Field Office Review Committee shall be created to handle cases against registered, licensed and accredited agencies. The DSWD Field Office Review Committee shall handle cases at the initial stage while the Central Office Review Committee shall exercise jurisdiction over cases on appeal which shall be forwarded to the Secretary for approval.

1. Composition of the Review Committees

- a. **Central Office Review Committee (CORC)**
 - a.1. Chairperson – Assistant Secretary *for Institutional Development Group*
 - a.2. Co-Chairperson
 - i. Director, Standards Bureau
 - ii. Director, Legal Service
 - a.3. Members – Director or the authorized representative who not lower than the technical staff with salary grade 18, for DSWD offices
 - i. Policy and Plans Group

- ii. Operations and Programs Group
- iii. Institutional Development Group
- iv. General Administration and Support Services Group
- v. NGO Sectoral Representative/s

The DSWD Standards Bureau shall act as the secretariat of the CORC.

b. ***Field Office Review Committee(FORC)***

- b.1. Chairperson –FO Director
- b.2. Members- Division Chiefs/Officers In-Charge of the Policy and Plans Division, Operations and Programs Division, Institutional Development Division and General Administration and Support Services Division.
- b.3. NGO sector representative/ABSNET representative
- b.4. Retainer lawyer

The DSWD FO Standards Unit shall act as the secretariat of the FORC.

A special order shall be issued to this effect indicating the names and alternate representative of the members and functions of the CORC and FORC.

2. ***Functions of the Review Committees***

- a. The DSWD Field Office Review Committee:
 - a.1. Conduct hearing upon receipt of findings and recommendations of the investigator/s assigned/appointed by the Field Director;
 - a.2. Submit findings and recommendations including the resolution to the Field Director for signature;
 - a.3. Oversee the implementation of the adverse resolution.
- b. The Central Office Review Committee:
 - b1. Conduct hearing on cases brought on appeal that is forwarded by the DSWD Secretary to the Review Committee;
 - b.2. Submit recommendations to the DSWD Secretary including the draft resolution of the case for signature;
 - b.3. Recommend to the Secretary the filing of appropriate charges in court or any government agency exercising judicial or quasi-judicial functions.

IX. PROCEDURES IN HANDLING OF COMPLAINTS/INFORMATION

1. Conduct of fact-finding investigation by the FO

The DSWD FO that has jurisdiction over the SWDA complained of shall conduct the fact-finding investigation.

2. Procedures in hearing complaints/information at the FO Level

The following procedures shall be undertaken in handling of complaints or information:

- a. The complaint or information shall be filed with or forwarded to the concerned DSWD FO where the SWDA's principal place of business is located or where the reported act has been committed for the purpose of fact-finding investigation.
- b. The Regional Director of the DSWD FO which has jurisdiction over the case shall appoint three (3) or more fact finding team members within a period of three (3) working days upon receipt of a complaint or information for the purpose of fact-finding investigation
- c. The appointed investigators shall assist in securing evidences, execute sworn statements, conduct interview with concerned agency officials/personnel/clients, and conduct other relevant activities that may expedite the investigation which shall be completed within ten (10) working days reckoned from the date of appointment.
- d. The investigator/s shall submit their report together with supporting data to the Assistant FO Director within five (5) working days from the completion of the investigation specifying their recommendation to proceed with the hearing or not. If the recommendation is to dismiss the case for lack of merit, a resolution shall be prepared within five (5) working days to be signed by the Assistant FO Director copy furnished the complainant, complained agency and other relevant parties. In case where the fact-finding report recommends the filing of charges, the Assistant FO Director shall sign the report and forward the same to the FO Director for the conduct of hearing.
- e. The Regional Director or its authorized representative, in his/her absence shall immediately convene the FORC within ten (10) working days from receipt of the fact finding investigation report
- f. The interested parties shall be notified in writing within five (5) working days prior to convene the FORC informing them that the case is subject to hearing proceedings
- g. The FORC shall deliberate on the issues involved within a period of five (5) working days.
- h. The FORC shall issue a decision and furnish the interested parties of the same within ten (10) working days from the last day of the Committee deliberation.
- i. If the decision is in favor of the agency being complained of, the FO Director shall immediately dismiss the case. In case the decision is unfavorable to the agency, the FO Director shall issue a decision within ten (10) working days for immediate implementation of the Standards Unit.
- j. The agency may file a motion for reconsideration to the concerned DSWD Regional Director within fifteen (15) working days upon receipt of the decision. If the SWDA failed to file an appeal within the prescribe period, the issued decision shall be considered final and executor.
- k. The FORC shall deliberate the merits of the filed motion for reconsideration which shall not exceed ten (10) working days from the date of receipt.

- l. If the decision is still unfavorable to the SWDA, the FORC shall issue the final decision within five (5) working days after the deliberation for immediate implementation of the Standards Unit.
- m. The agency may appeal directly with the CORC ten (10) working days upon receipt of the final decision from the Regional Director.
- n. The deliberation of complaint from the convening to the issuance of resolution order at the FORC shall not exceed to six (6) months.
- o. All decisions issued by the FORC and appealed of the SWDA shall be furnish to Standards Bureau for information and reference.
- p. Complaints against the DSWD and LGU staff including DSWD Centers/Institutions, LGU facilities, Senior Citizens Centers, Day Care Centers shall be acted in accordance with the Civil Service Commission policies, rules and regulations.

3. Procedures in the Conduct of Hearing at the CORC

- a. Only cases brought on appeal to the Secretary and forwarded to the CORC Chairperson shall be subjected for review.
- b. The Chairperson shall immediately set the date of the meeting of the members to discuss and deliberate the merits of the case which will not exceed ten (10) working days from the date of receipt.
- c. After deliberation of the issues involved in the case, the CORC shall immediately submit a comprehensive report to the Secretary including specific recommendations within a period of 10 working days from the last day of the Committee deliberation including the draft decision for the signature of the Secretary. In cases where the CORC finds the report of its FORC to be with insufficient information, the CORC shall be given 10 working days to get the necessary information from the concerned FO or has an option to conduct a separate investigation, if necessary.
- d. Once the resolution is signed, the CORC shall furnish a copy of the signed decision to the SWDA within a period of five (5) working days from receipt of the same copy furnish the DSWD FO with jurisdiction over the SWDA for their information and reference. The Standards Bureau shall oversee the implementation of the decision in close coordination with the concerned DSWD FO which has jurisdiction over the SWDA.
- e. The deliberation of appealed cases at the CORC shall not exceed to two (2) months.

X. PROCEDURES IN HANDLING CHILD ABUSE CASES

1. After the DSWD or any of its officers receive a report or discover that child abuse was committed by the agency's personnel or has been perpetrated within the premises of the social work agency, the DSWD FO Director of the place where the alleged offense has been committed shall be informed of the case and shall immediately take protective custody of the alleged victim/s within 24 hours.
2. The DSWD FO Director shall assign a particular social worker to counsel the child and to coordinate with a lawyer relative to the immediate filing of the case.

3. If the case qualifies as a ground to suspend or revoke the registration and license of the SWDA, the same procedure in handling complaints shall be applied. If not, the concerned DSWD FO shall monitor the operations of the SWDA.
4. The procedure on closure of establishment shall be based on existing procedures provided for under specific laws, rules and regulations as may be determined.

XI. PROCEDURES IN HANDLING ERRING GOVERNMENT/AGENCY PERSONNEL

Erring government employees/agency personnel shall be dealt with in accordance with existing rules and regulations of the Civil Service Commission and Professional Regulation Commission and criminal procedures whenever applicable.

XII. DISCLOSURE OF INFORMATION TO THE PUBLIC

All records pertaining to the case against a SWDA shall be handled with strict confidentiality. No information relating thereto shall be disclosed unless the matter has been resolved with finality by the DSWD Secretary or FO Director, in which case status/results may then be made available to the public.

XIII. GROUNDS AND SCHEDULE OF PENALTIES

1. **Coverage and Applicability.** This shall apply to all registered, licensed and/or accredited public and private SWDAs.
2. **Schedule of Penalties**

GROUNDS	PENALTIES
a. The agency is being used for immoral purposes	Revocation
b. Ceased to operate as a SWDA	Revocation
c. Using the agency for immoral purposes, such as using it as a front for child trafficking or child prostitution and other similar acts	Revocation
d. Commission of any act showing its unworthiness and incompetence to continue acting as a SWDA	Revocation
e. Falsification of the requirements for registration of SWDAs as enumerated under Sec. 23 of R.A. No. 4373	Revocation
f. Exploitation or abuse of its beneficiaries	<u>Revocation</u>
g. Revocation of SEC registration	Revocation
h. Mismanagement of funds	Revocation
i. Non-compliance of SWDAs on the agreed action plan during the accreditation assessment after two (2) consecutive monitoring visits of the concerned DSWD FO	<u>Suspension</u>
j. The clients therein are being neglected or are undernourished	<u>Suspension</u>
k. Insolvent or is not in a financial position to support and maintain the children therein or to perform the functions for which it was granted license	Suspension
l. Poor case management e.g. no movement of cases, no SCSR within a month after admission	Suspension

GROUNDS	PENALTIES
m. Poor sanitation of facilities and surroundings rendering these unfit for clientele	Suspension
n. Violation of the agency's Constitution and By-laws	Suspension
o. Failure to submit annual report and audited financial report for two (2) consecutive years	Suspension
p. Failure to apply for renewal of accreditation of programs and services after two (2) consecutive notification and monitoring visits of concerned DSWD Office.	Suspension

First offense of items i to o which are less grave violations shall merit the penalty of reprimand. The concerned SWDA shall be forewarned that a second violation of a similar offense shall merit the penalty of suspension. Commission of a third offense shall merit the penalty of revocation of certificate/s of registration and/or license to operate and accreditation, if it is accredited. Those items a to h are considered grave violations, hence an automatic revocation of certificate/s shall be issued in the resolution order of the FORC/CORC.

For violation of item p. non-submission of annual report and audited financial report for two (2) consecutive years shall automatically merit suspension after due process at the FORC.

3. In cases where SWDA's are not covered under these provisions e.g. those not yet registered and/or licensed, existing laws should apply e.g. Batas Pambansa Bilang 68 (The Corporation Code of the Philippines), Republic Act 7610 (An Act Providing for Stronger Deterrence and Special Protection against Child Abuse, Exploitation and Discrimination, providing Penalties for its Violation and for other purposes), Republic Act 9262 (An Act Defining Violence Against Women and their Children, providing for Protective Measures for Victims, prescribing Penalties therefore, and for other purposes), and Presidential Decree No. 603 (Child and Youth Welfare Code, as amended) among others.

XIV. ISSUANCE OF REPRIMAND, SUSPENSION OR REVOCATION ORDER.

The order of reprimand shall be in writing signed by the members of the Review Committee, which will include a plan of action as bases of monitoring of the concerned DSWD FO. The suspension or revocation order shall be issued by the DSWD Secretary, or his/her duly authorized representative in all appealed cases while those cases decided at the initiatory stage shall be the responsibility of the DSWD FO Director. If the license is revoked, closure of the establishment and forfeiture of properties shall be dealt with in accordance with pertinent laws, rules and regulations.

XV. SUPERVISION OF AGENCY WITH SUSPENDED REGISTRATION AND/OR LICENSE.

During the suspension period, the SWDA shall be under the supervision of the concerned DSWD FO where the suspension order is to be implemented. The supervision shall be based on the agreed action plan formulated by the DSWD Office that issued the suspension order and the concerned SWDA to address the cause/s of suspension. Necessary activities in Section XVII item 5 of this Guideline shall be followed.

In the case of an SWDA operating in two or more regions, the Standards Bureau shall consult the concerned DSWD FOs on the formulation of the plan primarily considering the situation of clients, DSWD and SWDA 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 DSWD FO shall provide written monthly feedback to the Standards Bureau regarding the accomplishment of the plan of action during the suspension period.

XVI. ACTIVITIES AFTER THE ISSUANCE OF ORDER FOR REPRIMAND, SUSPENSION OR REVOCATION OF REGISTRATION AND/OR LICENSE

The following activities after the issuance of reprimand, suspension or revocation order shall be undertaken by the concerned DSWD Office, as the case may be:

1. Ensure the provision of technical assistance or resource augmentation to the SWDA should the need for such be assessed as the measure to resolve/settle the alleged violation/complaint or remedy the cause of reprimand or suspension of registration and/or license.
2. 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.
3. Conduct an evaluation during the last month of the reprimand or suspension period on the SWDA's plan of action in relation to the cause of reprimand or suspension. Result of evaluation shall be the basis for recommending appropriate action to take.
4. File appropriate action in court or proper agency of the government, if the need for such arises.
5. Monitor the implementation of the decision reached and the completion of activities within thirty (30) working days upon receipt of the reprimand, suspension or revocation order, which may include:
 - a. Actions relative to agency:
 - a.1. Termination/suspension of operation;
 - a.2. Termination of employees in accordance with the existing labor laws; and
 - a.3. Disposition of properties/assets in accordance with agency's by-laws
 - b. Actions relative to clients:
 - b.1. Identification of SWDA/s with similar services for possible transfer of clients in coordination with the concerned DSWD FO;
 - b.2. Actual transfer of clients including records and case management to the identified SWDA

If an agency providing the same programs and services is unavailable in the area, the concerned DSWD FO shall take into custody the clients and their respective case records as well as personal belongings/effects e.g. clothing, shoes etc. The concerned DSWD FO shall also assume case management until such time that an appropriate agency has been identified or until the suspension order is lifted.

6. In the case of an agency whose operation has been suspended and whose license has been revoked, the DSWD FO shall submit to the Secretary a report to include a plan of action signed by the SWDA Executive Director or authorized representative and the FO Director and a terminal report on the SWDA's closure respectively.
7. Decisions on reprimand, suspension and revocation of registration and/or license and cancellation of accreditation shall be reported to the Secretary including all pertinent information regarding the activities undertaken. Registration and license revoked or suspended at the regional level shall be reported by the DSWD FOs to the Standards Bureau. The latter shall be responsible for consolidating the reports from the DSWD FOs including those operating nationwide for submission to the Secretary.

XVII. APPLICATION FOR A NEW REGISTRATION AND/OR LICENSE.

The revocation of the registration and/or license of a SWDA to operate does not preclude it from applying for a new registration and/or license to operate. This could only be done by the agency if after thorough assessment by the concerned DSWD Office the SWDA has proven to have removed or remedied the conditions that have given rise to the revocation of its registration or license to operate.

The general principles provided under general policies and the procedures prescribed on the registration, licensing and accreditation of SWDA of this Guideline shall be observed when re-applying for a registration or license to operate.

In case of an approved application for a new registration and/or license, the Secretary or his/her duly authorized representative shall issue a written notice to the offices cited in Section XVI item 2 for their information.

XVIII. CANCELLATION OF ACCREDITATION CERTIFICATE OF SWAs

1. **Coverage Applicability.** Cancellation of the accreditation certificate for each implemented program shall be made against any SWA that failed to comply with the standards for such programs and services.
2. **Cancellation Procedure.** The procedures in cancellation of accreditation certificate are as follows:
 - a. A report shall be made after the conduct of the standards compliance monitoring and/or assessment which shall contain the findings and recommendation/s on the level of compliance by the SWA to social welfare and development standards.
 - b. If the findings indicate the failure of the SWA to meet certain social welfare and development standards, a plan of action shall be formulated and agreed upon by the SWA and the Standards Bureau indicating a specific period depending on the standards for compliance. After the indicated period, a re-assessment of the agency's capacity to comply with the agreed action plan shall be conducted to determine the level of compliance.
 - c. After the re-assessment is made and the agency still fails to comply with the standards set for accreditation based on the plan of action, a grace period of six (6) months is given to the SWA to finally comply with the requirements.

- d. If it has been established, following due process and procedures, that a SWA has committed any of the violations specified in the grounds for reprimand and suspension or revocation of registration and/or license as indicated in this Guideline, its accreditation certificate shall be canceled.
- e. The order of cancellation of accreditation certificate shall be issued by the Undersecretary of the Policy and Programs Group based on the recommendations made on the assessment or re-assessment on the SWA's compliance to the appropriate standards.
- f. The notice of cancellation of accreditation certificate shall be through a letter signed by the Undersecretary of the Policy and Programs Group indicating that the accreditation of a particular program/s or service/s of the subject SWA had already been withdrawn or canceled for failure to comply with the standards.
- g. Failure to comply with the action plan after two (2) successive assessments shall be dealt with in accordance with procedures stipulated in Section XIII of this Guideline.

XIX. STANDARDS COMPLIANCE MONITORING (SCM)

Standards and compliance monitoring shall be guided by the Memorandum Circular No. 17 series of 2010 otherwise known as Enhanced Guidelines in Monitoring Social Welfare and Development Agencies (SWDAs) and Service Providers. However, Standards Bureau shall also conduct monitoring to SWDAs.

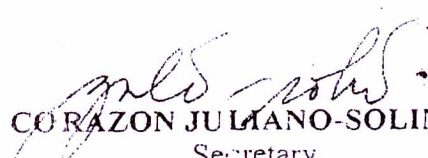
XX. REPEALING CLAUSE

This Guideline shall revoke the Administrative Order No. 17 series of 2008 and all other DSWD guidelines or issuances inconsistent herewith.


XXI. EFFECTIVITY

This Guideline shall take effect immediately.

Issued this 18th day of December 2012.


CORAZON JULIANO-SOLIMAN
Secretary

A CERTIFIED COPY:


NICOMEDES P. SULLER
Chief, General Services Division