

# DSWD

Department of Social Welfare and Development

# QUALITY MANUAL

## **DSWD STANDARDS BUREAU**

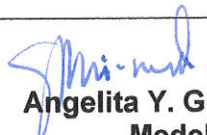

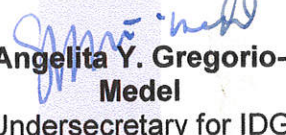
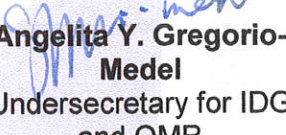
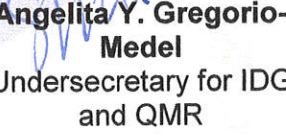
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# QUALITY MANAGEMENT SYSTEM MANUAL RECORD SHEET

Paragraph /Section	Page	Details of Amendment	Status	Signature
1.1	4	Exclusion of clauses 7.3 (Design and Development), 7.4.1 (Purchasing Process) and 7.6 (Control of Monitoring and Measuring Equipment)	Approved <u>May 28, 2014</u> Date	 <b>Angelita Y. Gregorio-Medel</b> Undersecretary for IDG and QMR
7.3.3	61	To define Customer Property	Approved <u>May 28, 2014</u> Date	 <b>Angelita Y. Gregorio-Medel</b> Undersecretary for IDG and QMR
7.2.4	59	To clarify SB functions on the DSWD procurement process	Approved <u>June 25, 2014</u> Date	 <b>Angelita Y. Gregorio-Medel</b> Undersecretary for IDG and QMR
5.3	34	To correct the grammar used in stating the Quality Policy	Approved <u>July 21, 2014</u> Date	 <b>Angelita Y. Gregorio-Medel</b> Undersecretary for IDG and QMR
		To ensure consistencies of the Quality Manual and Quality Procedures, streamline SB processes and include updates affecting the QMS as defined in the DRAR dated June 23, 2015	Approved <u>July 9, 2015</u> Date	 <b>Angelita Y. Gregorio-Medel</b> Undersecretary for IDG and QMR





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# QUALITY MANAGEMENT SYSTEM MANUAL

## I. Approvals, Controls and Amendments

### 1.1. Scope

This Quality Management System (QMS) manual shall apply to the regulatory services of the Department as indicated in the Service Process Map through Standard Bureau.

This shall also cover the provision of regulatory services as the core function of the Bureau. The scope of the QMS shall constitute the core processes of the Bureau, as further described in the Service Process Map. Also covered are the key management and support processes that are critical to the Bureau's core function. These shall contain the basic policies, objectives and guidelines set by the Bureau, which can be implemented as a tool for exceeding internal and external customer's satisfaction.

DSWD's implementation of ISO 9001:2008 Quality Management System requirements excludes Clauses **7.3. (Design and Development)**, **7.4.1 (Purchasing Process)** and **7.6 (Control of Monitoring and Measuring Equipment)**<sup>1</sup>, for the following reasons:

- DSWD-Standards Bureau adheres to the existing policies and guidelines on the provision of regulatory services. Any change or modification shall not be effected during the provision of regulatory services unless it went through the policy development process.
- DSWD has a centralized procurement process through the Procurement Service and Bids and Awards Committee. It manages and monitors procurement activities and processes of the different offices of the Department.
- DSWD does not use monitoring or measuring equipment in the delivery of its regulatory services.

<sup>1</sup> The exclusion of these Clauses from the DSWD Quality Manual has resulted to an adjustment of the numbering in Section 7.0 of this document.

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## 1.2 Amendment

- 1.1 Amendments shall be made when required or after any review.
- 1.2 The DSWD Secretary or any of his / her authorized representatives shall approve the amendments first prior issuance.
- 1.3 Only the page affected shall be replaced.
- 1.4 Amendments shall be recorded in the Record Sheet as follows:

[illegible]

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## 1.3 Distribution List

Controlled copies of Quality Manual are distributed as follows:

<u>CONTROLLED COPY NUMBER</u>	<u>DSWD OFFICE</u>
DSWD-SB-QM-001	DSWD Secretary
DSWD-SB-QM-002	Undersecretary for Institutional Development Group (IDG) / QMR
DSWD-SB-QM-003	Assistant Secretary for Institutional Development Group (IDG)/AQMR
DSWD-SB-QM-004	Director IV Standards Bureau /DQMR
DSWD-SB-QM-005	SCMD
DSWD- SB-QM-006	SDD
DSWD-SB-QM-007	CSO Accreditation Division

Uncontrolled copies may be given to customers with permission of the DQMR.

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# QUALITY MANAGEMENT SYSTEM MANUAL

## 2. Definition of Terms & Abbreviations/Acronyms Used

### 2.1 Definition of Terms

For DSWD quality management system manual, the following definitions shall apply:

- 2.1.1. Audit - is an evidence gathering process. Audit evidence is used to evaluate how well audit criteria are being met. Audits must be objective, impartial, and independent, and the audit process must be both systematic and documented.
- 2.1.2. Auditor- a competent individual (qualified on the basis of appropriate education, training, experience & demonstrated skills) who actively participates in conducting the audit process.
- 2.1.3. Benchmarking – a technique that involves comparing one's own processes to excellent examples of similar processes. Through benchmarking, rapid learning can occur, and processes can undergo dramatic improvements.
- 2.1.4. Bureau – refers to the Standards Bureau.
- 2.1.5. Cluster – each of the major groupings of OBSUs within DSWD (i.e. Operations and Programs, Policy and Plans, Institutional Development, General Administration and Support Services)
- 2.1.6. Continual Improvement – is the ability of an organization to carry out a set of activities in order to enhance its ability to meet requirements. Continual improvements can be achieved primarily by carrying out audits, self assessments, management reviews, and benchmarking projects. It can also be realized by collecting and analyzing data/information, setting objectives, and implementing corrective and preventive actions to address specific concerns.
- 2.1.7. Competence – demonstrated ability to apply the necessary knowledge and skills to meet a standard.
- 2.1.8. Corrective Actions - are steps that are taken to remove the causes of an existing nonconformity or undesirable situation. The *corrective action process* is designed to prevent the recurrence of nonconformities or undesirable situations. It tries to make sure that existing nonconformities and situations don't happen again. It tries to prevent recurrence by eliminating causes. *Corrective actions* address actual problems. Because of this, the *corrective action process* can be thought of as a problem solving process.

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- 2.1.9. Customer - is anyone who receives service from a supplier like DSWD. For the purpose of this manual example of customers include SWDAs, service providers, corporations, association, citizens, and other stakeholders.
- 2.1.10. Customer Satisfaction - is a perception. It is also a question of degree. It can vary from high satisfaction to low satisfaction. If customers believe that you've met their requirements, they experience high satisfaction. If they believe that you've not met their requirements, they experience low satisfaction.
- 2.1.11. Department – refers to the Department of Social Welfare and Development.
- 2.1.12. Document – an issuance created and used to support an effective and efficient organizational operation (e.g. guidelines, handbooks, manuals); this issuance could be amended.
- 2.1.13. Effectiveness – extent to which planned activities is realized and planned results are achieved.
- 2.1.14. Employee involvement – regular participation of employees in decision making. The driving forces behind increasing the involvement of employees are the conviction that more brains are better, that people in the process know it best, and that involved employees will be more motivated to do what is best for the DSWD.
- 2.1.15. Guideline – a statement or other indication of policy or procedure by which to determine a course of action.
- 2.1.15. Infrastructure – buildings, lawns, work area, utilities, and other supporting services (such as transport and communication).
- 2.1.16. Internal Quality Audit -- referred to as first-party audits, these audits are used to audit the QMS for internal purposes; it can also be used to declare that the Bureau complies with ISO 9001:2008 standard.
- 2.1.17. Management Review – is the formal evaluation by the top management of the continuing suitability, adequacy, and effectiveness of the QMS in relation to Quality Policy, internal business process results, business objectives and customer feed backs.
- 2.1.18. Nonconformity – any deviation from work standards, practices, procedures, regulations, management system, performance, etc. that

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could either directly or indirectly lead to failure to meet the desired output or service.

2.1.19. Objective Evidence – any documented statement of fact, other information or record, quantitative or qualitative, pertaining to the quality of an item or activity, based on observations, measurements or tests which can be verified.

2.1.20. Plan-Do-Check-Act Cycle – a four-step management method adopted by SB for the control and continuous improvement of its processes. The first step involves planning for the necessary improvement; the second step is the implementation of the plan; the third step is to check the results of the plan; the last step is to act upon the results of the plan.

2.1.21. Preventive Action – action taken to eliminate the cause of potential nonconformity and to prevent the occurrence of potentially undesirable situation.

2.1.22. Process – a set of interrelated resources and activities that transforms input into outputs.

2.1.23. Product/Service realization - is the set of necessary processes used to bring an idea of a product or service to an actual, final product or service.

2.1.24. Quality – degree to which a set of inherent characteristics fulfills requirements.

2.1.25. Quality Management System. It is a collection of business processes focused on achieving an organization's quality policy and quality objectives—i.e. what the customer wants and needs. In the context of DSWD, A quality management system (QMS) can be expressed as the DSWD's structure, procedures, processes and resources needed to implement quality management.

2.1.26. Record – refers to papers, maps, photographs or other documentary materials, regardless of physical form or characteristics that have been created or received by the DSWD particularly the SB in pursuance of its mandates and/or in connection with the transaction of public business and has been preserved or appropriated for preservation by the DSWD or its legitimate successors as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Department because of the information value or data contained therein (DSWD Standards Operating Procedures on Records Management).

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2.1.27. Re-clustering – a reorganization of clusters within DSWD which aimed to streamline the functions of the different OBSUs within the DSWD Central Office for smoother and better implementation and delivery of programs, projects and services.

2.1.28. Social Welfare and Development Agencies (SWDAs) - a person<sup>3</sup> 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.

2.1.29. Stakeholders – refers to all groups that are or might be affected by the Bureau's activities or action. Examples include customers, employees, partners, suppliers, regulatory bodies, policy makers, funder and local communities.

2.1.29. Work Instructions – a sequence of steps to execute a task or activity.

## 2.2. Abbreviations and Acronyms Used in This Manual

2.2.1. AQMR – Assistant Quality Management Representative

2.2.2. DQMR – refers to the Deputy Quality Management Representative

2.2.3. EO – Executive Order; a policy directive issued by the President of the Philippines

2.2.4. FO – DSWD Field Offices

2.2.5. GASSG – General Administration and Support Services Group; a cluster within DSWD

2.2.6. GOCCs – Government Owned and Controlled Corporations

2.2.7. HRDB – Human Resource Development Bureau; a bureau within DSWD

2.2.8. LGU – Local Government Unit

2.2.9. IDG – Institutional Development Group; a cluster within DSWD

<sup>3</sup> Juridical person

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- 2.2.10. IQA - Internal Quality Audit, *see Definition of Terms*
- 2.2.11. MC – Memorandum Circular
- 2.2.12. MFO – Major Final Output
- 2.2.13. NGAs – National Government Agencies
- 2.2.14. OBSUs- Offices, Bureaus, Services, and Units
- 2.2.15. OPCR – Office Performance Contract and Review
- 2.2.16. PDS – Personal Data Sheet
- 2.2.17. PGS-BSC – Performance Government System-Balanced Score Card
- 2.2.18. PPMP – Project Procurement Management Plan
- 2.2.19. QM – Quality Manual
- 2.2.20. QMR – Quality Management Representative
- 2.2.21. QMS – Quality Management System
- 2.2.22. RDC – Records Data Center
- 2.2.23. SALN – Statement of Assets, Liabilities and Net worth
- 2.2.24. SWD – Social Welfare and Development
- 2.2.25. SWDAs – Social Welfare and Development Agencies, *see Definition of Terms*
- 2.2.26. SB – Standards Bureau
- 2.2.27. SU – Standards Unit
- 2.2.28. WFP - Work and Financial Plan
- 2.2.29. CSOs – Civil Society Organizations

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## 3.0 Introduction

### 3.1 DSWD Brief History

Social welfare as a basic function of the state was a concept that materialized only after the Second World War, although different groups were undertaking pocket of social work in the first decade of the American occupation in the country. After the war, the Philippine government gradually assumed the major responsibility of providing social welfare and development programs and services.

**1915** – The Public Welfare Board (PWB) was created. Its functions were to study, coordinate and regulate all government and private entities engaged in social services.

**1921** – The PWB was abolished and replaced by the Bureau of Public Welfare under the Department of Public Instruction.

**1939** – Commonwealth Act No. 439 created the Department of Health and Public Welfare, was passed.

**1941** – The Bureau of Public Welfare officially became a part of the Department of Health and Public Welfare.

**1947** – President Manuel A. Roxas abolished the Bureau of Public Welfare and in its place created the Social Welfare Commission (SWC) under the Office of the President.

**1948** – President Elpidio Quirino created the President's Action Committee on Social Amelioration (PACSA) to effect socio-economic reforms in the countryside to counteract social unrest, by mitigating the sufferings of indigent families.

**1951** – The SWC and PACSA were merged into the Social Welfare Administration (SWA) which marked the beginning of an integrated public welfare program.

**1965** – Republic Act (RA) No. 4373: "An act to regulate the Practice of Social Work and Operation of Social Work Agencies in the Philippines and for other Purposes" was passed into law on June 19, 1965. In this year also, the Standard and Licensing Program was formally adopted through the issuance of Administrative Order (AO) No. 279, series of 1965.

**1968** – Republic Act 5416 known as the Social Welfare Act of 1968, elevated the SWA into DSWD, placing it under the executive branch of government in equal status with other social agencies like Health and Education.

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**1976** –The Department of Social Welfare was renamed Department of Social Services and Development (DSSD) with the signing of the Presidential Decree No. 994. It gave the Department a more accurate institutional identity, in keeping with its productivity and developmental thrusts.

**1978** – The DSSD was renamed Ministry of Social Services and Development (MSSD) in line with the change in the form of government from presidential to parliamentary.

**1987** – The MSSD was reorganized and renamed Department of Social Welfare and Development (DSWD) under Executive Order 123, series of 1987. Executive Order No. 292, series of 1987, also known as the Revised Administration Code of 1987, established the name, organizational structure and functional areas of responsibility of DSWD and further defined its statutory authority.

**1991** – The passage of Republic Act 7160, or the Local Government Code of 1991, has mandated DSWD to transfer the responsibility of handling its basic services, including appropriate personnel, assets, equipment, programs, and projects to LGUs. This made DSWD an enabler of LGUs in implementing social welfare and development programs through technical assistance, resource generation, and augmentation

**1998** – Executive Order No. 15, series of 1998 (*Redirect the Functions and Operations of the Department of Social Welfare and Development*) was issued to strengthen DSWD's repositioning efforts that began soon after the implementation of the Local Government Code. In the same year, Standards Bureau was established as the office within DSWD to fulfill its regulatory functions. The establishment reflects the shift of focus of DSWD's OBSUs from sectoral specialization (i.e., in one particular sector of activity such as children or women) to functional efficiency (i.e., in management of services), as directed by EO No. 15, series of 1998.

**2003** – Executive Order No. 221, amending Executive Order No. 15, was issued to refine the mandate, roles, powers and functions of the DSWD.

**2005** –The Department of Budget and Management (DBM) approved the DSWD Rationalization and Streamlining Plan (RSP) for implementation over the next five years. The RSP emphasizes the Department's shift in policy, functions and programs in line with its steering role.

**2012** – The Memorandum Circular (MC) Nos. 1 and 6 series of 2012 (Re-clustering of Offices, Bureaus, Services, and Units (OBSUs) at the DSWD Central Office) were crafted by the Department to further strengthen its operation and increase efficiency and synchronicity of the different OBSUs in the achievement of DSWD's vision, mission and reform agenda.

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**2015** – DSWD Administrative Order No. 2 Series of 2015 or the Re-Clustering of OBSUs at the DSWD Central Office was issued to 1) clarify lines of accountability among OBSUs and Officials; 2) further strengthen the Department's operations and support offices; 3) increase the efficiency, effectiveness and synchronicity of the different OBSUs in the achievement of DSWD's vision, mission and reform agenda, and; 4) serve as an interim set-up while the Department is completing the proposal for a Rationalization Plan 2.

### 3.2 Quality Management Agenda of DSWD

Administrative Order No. 2 Series of 2015 Re-Clustering of OBSUs at the DSWD Central Office (Amendments to MC Nos. 1, 6, 20, 25 Series of 2012; MC Nos. 2, 8, 10, 15, 18 series of 2014; MC No. 1 series of 2015; AO 11 series of 2014; SO No. 1 series of 2013; and SO 3904 series of 2014) was crafted by the Department to further strengthen its operation and increase efficiency and synchronicity of the different OBSUs in the achievement of Department's vision, mission and reform agenda. The re-clustering of OBSUs would provide for a closer and constant collaboration among concerned offices that need to strategically work together despite the constant challenges faced by the Department such as rapid expansion of DSWD operations, significant increase in budget allocation, and all-encompassing demands On services brought about by disasters, overlapping programs, and increasing complexity of social protection concerns.

The importance of Department re-clustering in concretizing DSWD Reform Agenda becomes more apparent with the use of the Performance Management System – Balance Scorecard (PGS-BSC), a tool utilized by the Department to address different challenges in governance (i.e. fairness, accountability, transparency, direction and performance). The strategies indicated in the scorecard have envisioned a DSWD that is a world's standard for the delivery of coordinated social services and social protection for poverty reduction by 2030.

To achieve this vision, the DSWD has established its Quality Management System that complies with the requirements of ISO 9001:2008 Quality Management System International Standard.

Being the implementer of the DSWD's regulatory functions, the work of Standards Bureau (SB) is critical in fulfilling such mandate. It acknowledges its responsibility to develop quality assurance mechanisms to aid in the management of Social Welfare and Development Agencies (SWDAs), and in the agency's implementation of programs and services for the poor, vulnerable, and the disadvantaged individuals, families, groups and communities.

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### 3.3. Rationale of the Manual

The purpose of this manual is to provide evidence to customers, employees, and other stakeholders of what specific controls shall be implemented in all QMS processes to ensure the quality of DSWD services. This quality manual describes the quality management system relevant to DSWD's regulatory function. This manual is a means to (1) communicate information, (2) serve as framework for meeting quality management system requirements, and (3) demonstrate DSWD's commitment to its quality policy.

This manual is divided into four main sections that are patterned according to ISO 9001:2008 standard (i.e. Management Responsibility, Resource Management, Product /Service Realization, Measurement, Analysis and Improvement) and is further subdivided into several subsections representing main quality system element

### 3.4 Range of DSWD Services

The following are the regulatory services provided by the Standards Bureau:

- ✓ **Registration of auxiliary social welfare and development agencies** – is a system of assessing and evaluating if operations of Auxiliary Social Welfare and Development Agencies are within the purview of social welfare and development.
- ✓ **Registration and licensing of social welfare agencies (SWAs) and resource agencies providing direct services** – is the process conducted by the Department in assessing and authorizing a SWA and resource agency providing direct services to operate as a social welfare agency through the issuance of a Certificate of Registration and License to Operate.
- ✓ **Accreditation of programs and services of SWAs and resource agencies providing direct services** – is the process of providing official recognition to the social welfare and development (SWD) programs and services of the registered and licensed agency after meeting the minimum standards set by the Government. It ensures that delivery of programs and services are within set standards.
- ✓ **National Authority to conduct fundraising activity** – refers to a certificate of authority issued by DSWD – Central Office through the Standards Bureau to the applicant when the area of fund raising activity covers more than one region. The authority issued to ensure compliance with the Solicitation Permit Law of those applicants that desire to solicit or receive contributions from the public for charitable or public welfare purposes.

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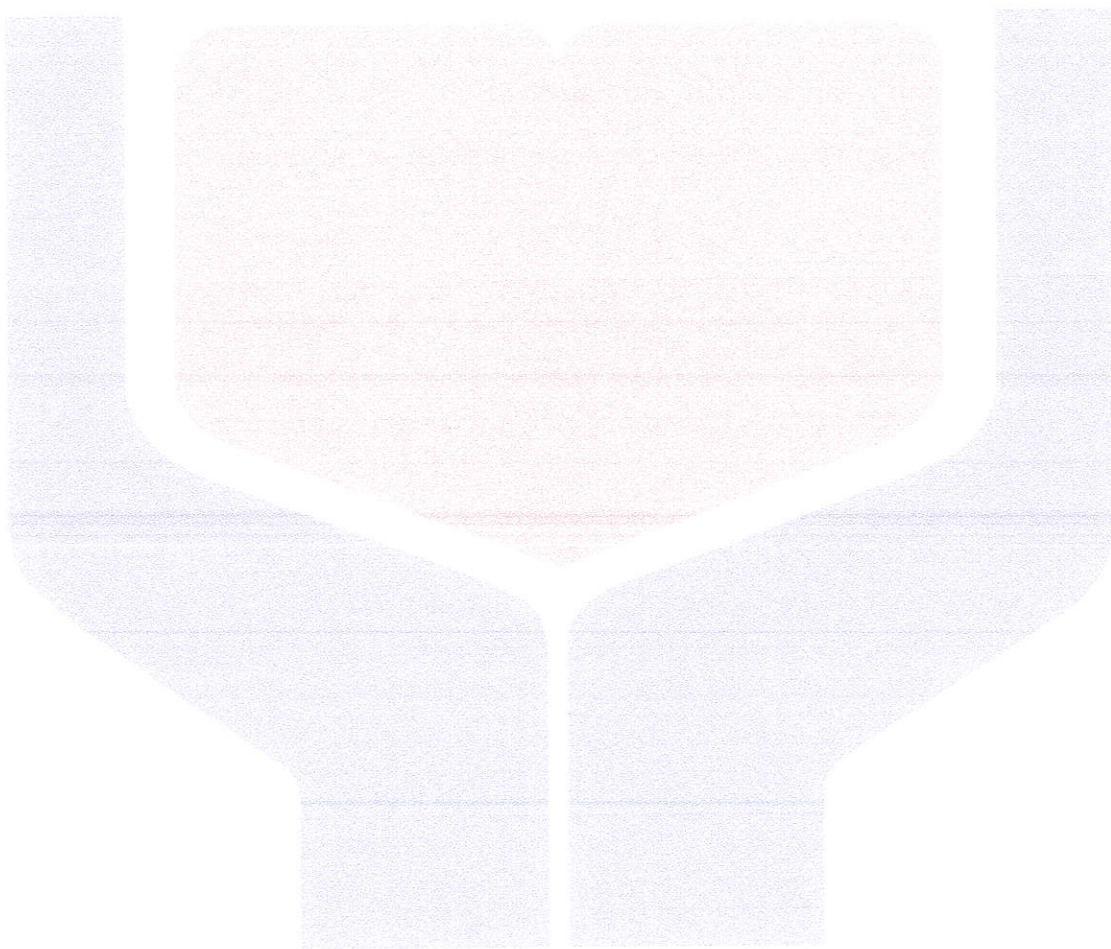


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- ✓ **Duty free entry of foreign donations** - as stated in Section 105 (I), Importation of Commodities, "imported articles donated to, or for the account of any duly registered relief organization, not operated for profit, for free distribution among the needy, upon certification by the Department, shall be exempt from payment of import duties.



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## 3.5 Mission, Vision, Credo, and Values

### DSWD VISION

We envision a society where the poor, vulnerable, and disadvantaged are empowered for an improved quality of life. Toward this end, DSWD will be the world's standard for the delivery of coordinated social services and social protection for poverty reduction by 2030.

### DSWD MISSION

To develop, implement and coordinate social protection and poverty reduction solutions for and with the poor, vulnerable and disadvantaged.

### DSWD CREDO

- ✓ Promote the rights of every individual
- ✓ Work for a society of equals
- ✓ Build and maximize people's potentials
  - Protect them
  - Enable them
  - Empower them
  - Learn from them
- ✓ Provide a better future for disadvantaged sectors of society and future generation

### DSWD VALUES

- ✓ Respect for human dignity
- ✓ Integrity
- ✓ Service Excellence

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## 4.0 Quality Management System

### 4.1 General Requirements

The Quality Management System of DSWD is established to demonstrate its ability to consistently provide coordinated social services to its customers and stakeholders. DSWD ensures that all processes both in-house and outsourced as described in this manual are in place to meet all regulatory, mandatory and customer requirements. To ensure consistency of these processes, detailed documentation shall be provided in the quality procedures, as well as handbooks and issuances.

The responsibility of implementation lies with the DSWD Standard Bureau. ISO 9001:2008 Quality Management System shall be adopted through the Standard Bureau and shall be implemented at all levels in the organization to serve as the foundation of the quest to attain Quality as a way of life in DSWD.

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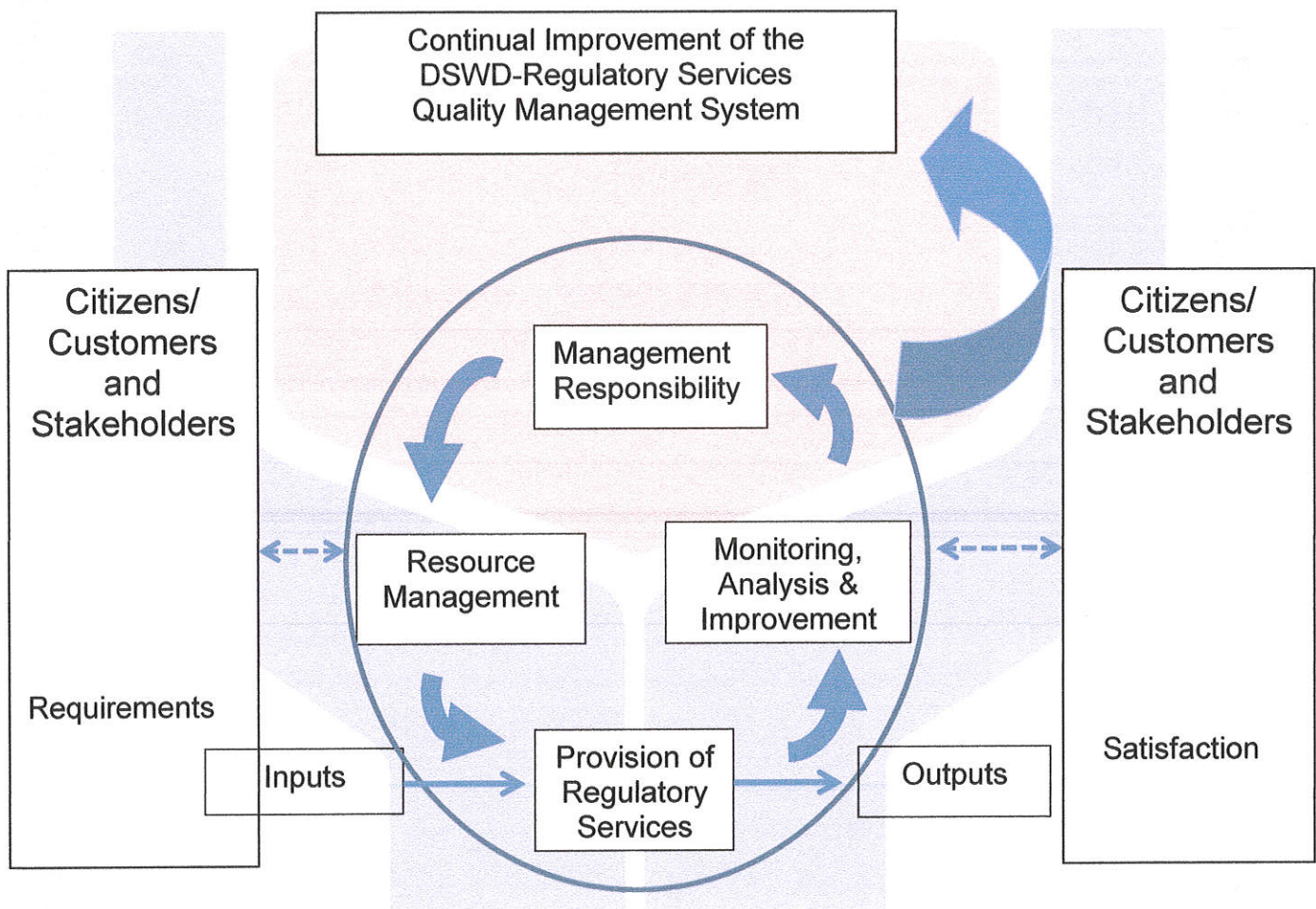
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DSWD's Quality Management System is established, documented, implemented and will be maintained following the Process-based Government QMS model as shown below:

**Figure 1. Model of a Process-Based Government QMS**



4.1.1 Figure 1 shows that a process-based QMS model is adopted as guide to fulfill DSWD's regulatory functions in a way that meets customers' needs and expectations. Ultimately, the model aims to continually improve DSWD's quality of service. Realizing such would entail appreciation of an ideal information flow to take place within DSWD, and between DSWD and its customers.

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The elements within the oval (See Figure 1) imply a series of obligations involving elements which are in fact the headings of Sections 5 (Management Responsibility), 6 (Resource Management), 7 (Provision of Regulatory Services) and 8 (Monitoring Analysis and Improvement) of the Manual. DSWD, as being ultimately accountable for ensuring that the series of obligations is in place, strives to assure the control and quality of activities. It requires that the whole process of quality assurance include the following:

- Defining the policies, commitment, responsibilities, and communication processes for quality-related activities of the involved parties (**Section 5**).
- Efficient deployment and management of DSWD's resources when they are needed (e.g. financial resources, human skills, or information technology) (**Section 6**).
- Assessing the suitability and competence of carrying out the activities (**Section 8**) related to the provision of regulatory services (**Section 7**) as well as the applicability and conformity of these activities.
- Consideration of stakeholders upon which the delivery of outputs depend, include the customers, employees, partners, and intermediaries<sup>4</sup>.

The **inputs** pertain to information and technical assistance requirements by customers that DSWD has to suffice in order to effectively provide its regulatory service. On the other hand, **outputs** include the degree of satisfaction provided by the quality of these services as measured by the customers' loyalty and positive feedback.

4.1.2. The processes covered by the DSWD - Regulatory Services QMS include:

- 4.1.2.1. Registration and licensing of SWDAs.
- 4.1.2.2. Accreditation of programs and services of social welfare agencies and service providers.
- 4.1.2.3. Regulation of fund drives and endorsement of duty free entry of foreign donations from SWDAs among others.

<sup>4</sup> Berry L & A. Parasuraman (1997). "Listening to the Customer-the Concept of A Service-quality Information System," *Sloan Management Review*, 38(Spring), 3, 65-76. "The quality of listening has an impact on the quality of service."

DSWD, intending on improving service, need to listen continuously to external customers who have experienced the firm's service and internal customers (employees) who depend on internal services to provide their own services.

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- 4.1.2.4. Activities or actions to meet customer requirements, determine customer satisfaction, and communicate with customers about the bureau's regulatory services. Information or feedback derived from these activities is used for the continual improvement of the process.
- 4.1.2. The processes and procedures in DSWD services needed for an effective quality management system as identified through regulatory mandates.
- 4.1.3. The sequence and interaction of related processes and services are determined in the Service Process Map in **Figure 2**. This map provides a visual and impartial way to identify what DSWD, as a regulatory entity does, who is responsible, to what standard a service delivery should be completed, and how the success of a service delivery can be determined.
- 4.1.3.1. This Service Process Map, setting the boundaries of the processes involved in the quality management system of DSWD, applies to the provision of various regulatory services delivered by the agency through the Bureau.
- 4.1.3.2. The Bureau's **management processes** involve processes aimed at controlling and improving the activities related to the provision of regulatory services. These processes include the (1) setting policies, (2) planning the organizing and execution of activities, (3) monitoring and evaluating process performance, (4) managing documents and records, (5) managing and learning from feedback, and (6) conducting corrective/preventive actions to troubleshoot or evade arising problems.
- 4.1.3.3 The Bureau's **support processes** are just as important to the success of the provision of regulatory services as the management processes. These pertain to the activities or functions that support the day-to-day operations of the Bureau, such as human resource, admin support, information management, and communication management. The support processes may or may not be outsourced from various units of DSWD or outside.
- 4.1.3.4 Customers wishing to avail of SB's regulatory services may notify in advance or come as walk-in inquirers, and/or referred by other agencies.
- 4.1.3.5 The Bureau's staff members attend to customers' requests (Refer to Item 4.1.7) by thoroughly observing the steps involved in the provision of regulatory services—i.e. *receiving, document review and*

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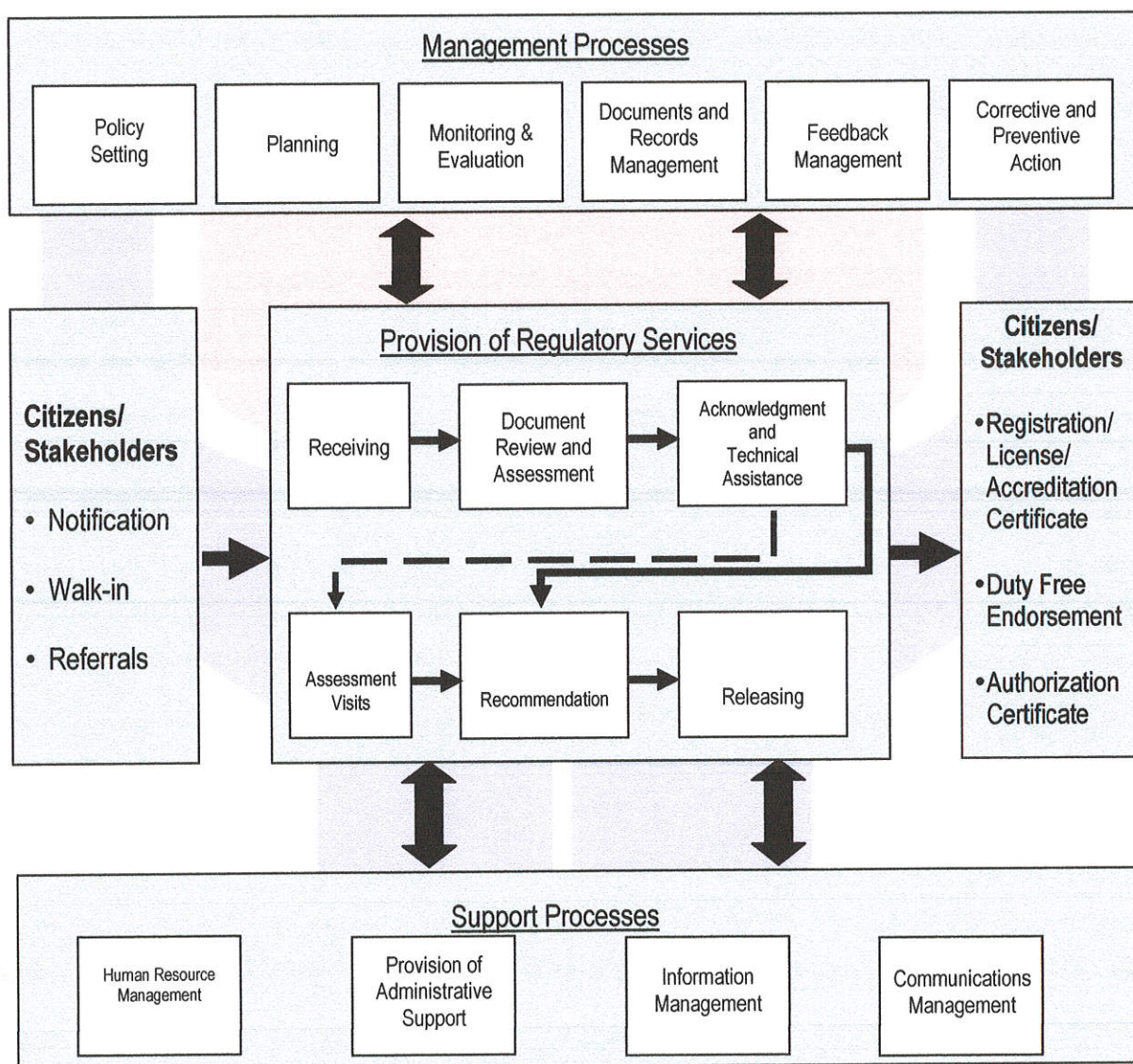




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*assessment, acknowledgment and technical assistance, recommendation, releasing.* This process may include assessment visits, which come before the Bureau's recommendation of request to the recommending authority. The thorough observance of these steps would lead to successful transaction manifested by customer satisfaction.

**Figure 2. Service Process Map**



4.1.4 The criteria and methods needed to ensure the effectiveness of operation and control of DSWD services lies with the Standards Bureau.

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- 4.1.5 The Standards Bureau shall develop quality assurance measures and shall regulate the implementation of policies, programs, rules and regulations of the DSWD and the SWDAs through its registration, licensing and accreditation functions.
- 4.1.6 Its jurisdiction shall cover individuals or non-profit organizations (both public and private) engaged in SWD activities, including fund drives and other forms of solicitation for public welfare purposes.
- 4.1.7 The following shall be the regulatory services provided by the Bureau:
- 4.1.7.1 **Registration of auxiliary social welfare and development agencies** – is a system of assessing and evaluating if operations of Auxiliary Social Welfare and Development Agencies are within the purview of social welfare and development.
  - 4.1.7.2 **Registration and licensing of social welfare agencies (SWAs) and resource agencies providing direct services** – is the process conducted by the DSWD in assessing and authorizing a SWA and resource agency providing direct services to operate as a social welfare agency through the issuance of a Certificate of Registration and License to Operate.
  - 4.1.7.3 **Accreditation of programs and services of SWAs and resource agencies providing direct services** – is the process of providing official recognition to the social welfare and development (SWD) programs and services of the registered and licensed agency after meeting the minimum standards set by the Government. It ensures that delivery of programs and services are within set standards.
  - 4.1.7.4 **National authority to conduct fundraising activity** – refers to a certificate of authority issued by DSWD – Central Office through the Standards Bureau to the applicant when the area of fund raising activity covers more than one region. The authority issued to ensure compliance with the Solicitation Permit Law that desires to solicit or receive contributions from the public for charitable or public welfare purposes.
  - 4.1.7.5 **Duty Free Entry of Foreign Donations** - as stated in Section 105 (I), Importation of Commodities, "imported articles donated to, or for the account of any duly registered relief organization, not operated for profit, for free distribution among the needy, upon certification by the Department, shall be exempt from payment of import duties.

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### 4.1.7.6 Control of Outsource Processes<sup>5</sup>

The following processes shall be considered outsourced by the Standards Bureau:

Services Provided	Type of Control
1) DSWD Legal Service - provides legal opinions, advice and services on matters involving the legal requirements/ needs of the Bureau.	<ul style="list-style-type: none"><li>Follow up request as set on the deadline of comments stated in the letter of request</li><li>Memorandum request</li></ul>
2) DSWD Human Resource Development Bureau – provides services related to addressing the Bureau's work force requirements and ensuring the well-being of personnel towards greater employee productivity and overall organizational effectiveness.	<ul style="list-style-type: none"><li>Special Order on the Bureau</li><li>Personnel Development Committee</li><li>Memorandum request</li></ul>
3) DSWD Administrative Service – provides maintenance and management support to the Bureau. It provides services related to procurement, property and supply management, record management, maintenance of properties/ facilities, operation of transportation, and communication, among others.	<ul style="list-style-type: none"><li>Annual Procurement Plan and Project Procurement Management Plan (PPMP)</li><li>Requisition and Issue Slip (RIS)/ Vouchers</li><li>Memorandum request to Administrative Service</li><li>Property Accountability Receipt (PAR)</li><li>Request for vehicle</li><li>Special Order (SO)/ Travel Order (TO)</li><li>Receiving copy of the documents needing courier services</li></ul>
4) DSWD Capacity Building Bureau – is responsible for enhancing the competencies of the staff and partners (intermediaries and stakeholders) of the Department in performing and achieving its goals.	<ul style="list-style-type: none"><li>Memorandum request signed and acknowledged by CBB</li></ul>

<sup>5</sup> Clause No. 4.1 General Requirements of ISO 9001:2008 Control of Outsourced Process Procedure.

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5) DSWD Information and Communication Technology Management Service (ICTMS) – supports the Bureau through the enhancement and maintenance of management and information communication technology (ICT) systems.	• ICT Service Support Technical Assistance Tracking System
6) Securities and Exchange Commission (SEC)	• Memorandum of Agreement with SEC
7) FO – Validation assessment	• Feedback report required from FOs
8) FO – Pre-assessment for duty-free entry of foreign donations and public solicitation	• Review Endorsement letter required from FOs
9) FO – Monitoring of SWDAs	• Feedback report required from FOs or copy of confirmation letter to SWDA (cc SB)
10) Office of the Secretary – Approval for the Authority to Conduct Fundraising, Accreditation Certificate, Endorsement for Duty-Free Entry of Foreign Donations	• Endorsement letter to the Secretary signed by the Bureau Director and received by the Office of the Secretary
11) Office of the Undersecretary for Institutional Development Group – Approval of Certificate of Registration and License to Operate	• Endorsement letter to the Head of Institutional Development Group signed by the Bureau Director and received by the Office of the IDG Cluster Head

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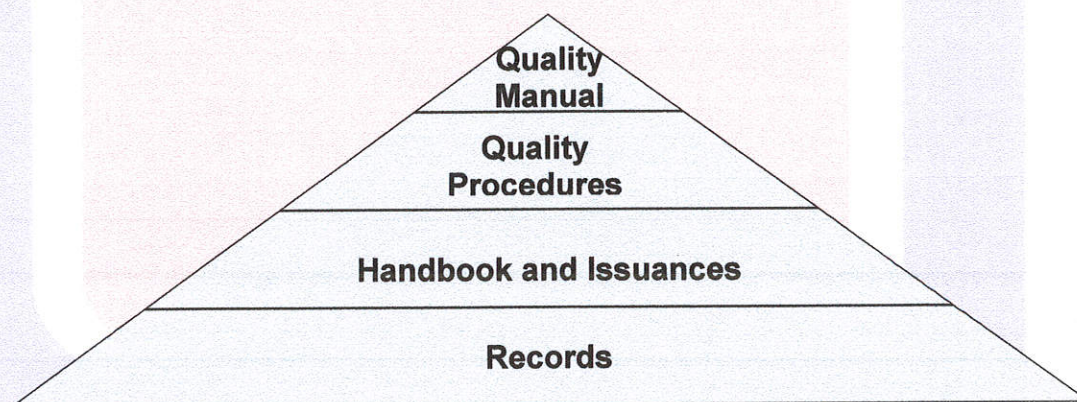


## 4.2 Documentation Requirement

### 4.2.1 General requirements

DSWD-Standards Bureau conforms to the QMS documentation requirements of the ISO 9001:2008 Standards<sup>6</sup> and aimed to ensure consistency in meeting the customer's needs and expectations through proper documentation of procedures and standards of procedures and standards operating structures.

The DSWD-Standards Bureau's QMS structure is as follow:



**Figure 3. Documentation Structure**

The Bureau's documentation system is structured in a pyramid with four (4) **levels (or tiers)** of documentation. The documentation pyramid represents the operational flow of information (i.e., day-to-day processes carried out by use of dynamic and current documentation) and emphasizes the impact of the quality manual on the entire documentation structure of the Bureau. The 4-tiered pyramid, being an operational tool to manage the quality system, goes to show that the Quality Manual is only small portion of the overall documentation, yet is very important as all other documentation must adhere with the principles stipulated in the Manual. On the other hand, the bulk of any documentation system is the records that are compiled over years of service.

<sup>6</sup> Clause 4.2.1 General of ISO 9001:2008  
Control of Document Procedure (DSWD-SB-QP-01)

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**Level 1: Quality Manual** – The highest level of Quality System documentation. It contains the quality policy, organizational structure, resource management, and specific policies for business process and quality control and improvement.

**Level 2: Quality Procedures** –These procedures clearly describe the sequence of processes necessary to ensure conformance with ISO 9001:2008. These procedures are Control of Documents, Control of Records, Control of Nonconforming Service, Corrective and Preventive Action, and Internal Quality Audit.

**Level 3: Handbook and Issuances** – These are operational guides on what the Bureau does and how it achieves stated policies. These also provide guidance on how to communicate and perform various activities.

**Level 4: Records** – These include records that provide evidence of activities performed or results achieved.

### Revision and issuance of QMS Manual and Procedures

4.2.1.1. This Quality Manual defines and clarifies policies, systems, and procedures adopted to implement and continually improve the DSWD-Standards Bureau's QMS. Likewise, it serves as reference and guide for the Bureau's employees to follow.

4.2.1.2. Introduction of new procedures or services, improvement of existing processes, and changes that could affect the QMS of the Bureau shall necessitate amendments to existing Quality Manual and relevant procedures.

4.2.1.3. A re-issue of this Quality Manual shall reflect when there is:

4.2.1.3.1. Change in the scope of certification;

4.2.1.3.2. Change in the management and/or DSWD structure; and

4.2.1.3.3. Change in the business process scope.

4.2.1.4. Requests or suggestions shall be made in writing to the DQMR for his/her consideration to ensure that such changes are reflected in the manual.

4.2.1.5. Once approved by the DQMR, said amendment shall be submitted to the QMR for his/her review and comments and approval. The draft

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amendments shall be submitted to the Department Secretary for approval.

4.2.1.6. The Quality Manual shall be accessible to the Department and its stakeholders. However it shall not be brought outside the Bureau without prior authorization from the DQMR.

4.2.1.7. Controlled copies of this Manual shall be issued to copyholders identified by the Bureau's Document Controller, who shall be responsible for safekeeping and promptly updating necessary revisions.

4.2.1.8. It shall be the responsibility of the Document Controller to distribute and keep a list of authorized copyholders of the Quality Manual, as indicated in the Document Control Procedure.

4.2.1.9. The distribution of the Quality Manual and its related documents shall be restricted and shall be done only with authorization from the Document Controller.

4.2.1.10. The responsibility of implementation lies with the DQMR and other authorized personnel of the DSWD.

4.2.1.11. The Quality Management System documentation of the DSWD includes:

4.2.1.11.1. Documented statements of quality policy and quality objectives,

4.2.1.11.2. Quality manual,

4.2.1.11.3. Documented procedures required by standard,

4.2.1.11.4. Documents needed to ensure effective planning, operation and control of processes, and

4.2.1.11.5. Quality records

The extent of this documentation depends on:

- a) The size of the DSWD and types of activities,
- b) The complexity of processes and their interaction, and
- c) The competence of employees.

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## 4.2.2 Quality Manual

**Purpose:** To describe the quality management system as per ISO 9001: 2008 standard.

**Responsibility:** The responsibility of implementation lies with the DSWD DQMR.

4.2.2.1 A quality manual is established and shall be well maintained by the DSWD which includes:

The scope of quality management system including details and exclusion.

4.2.2.2. Reference documented procedures.

4.2.2.3. Description of interactions between the processes in the quality system.

## 4.2.3 Control of Documents

**Purpose:** To ensure that the current and valid documents of the company are controlled in accordance with the requirement of ISO 9001:2008 Standard.

**Responsibility:** The responsibility of implementation relies on the DQMR & Document Controller and Custodian.

A documented procedure is established to define the controls needed to:

4.2.3.1. Approve documents for adequacy prior to issue.

4.2.3.2. Review, update and re-approve the document as necessary.

4.2.3.3. Ensure that changes and the current revision status of documents are identified.

4.2.3.4. Ensure that relevant versions of applicable documents are available at point of use.

4.2.3.5. Ensure that documents remain legible and readily identifiable.

4.2.3.6. Ensure that only those external documents necessary for the implementation and maintenance of the quality management system shall be controlled.

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- 4.2.3.7. Prevent the unintended use of obsolete documents and to apply suitable identification if it is retained for any purpose.
- 4.2.3.8. A system of distribution of controlled documents is also established which is dependent on the location as to where the document is essential to the implementation of QMS.
- 4.2.3.9. Obsolete or revised documents shall be retrieved and replaced promptly from all OBSU. These obsolete controlled documents shall be disposed by Document Controller and Custodian either through shredding or recycling if it does not contain confidential data.
- 4.2.3.10. The legibility of the document shall be maintained by using only permanent ink. The use of pencil and other non-permanent writing markers would not be allowed nor honored.
- 4.2.3.11. Electronic documents are managed & controlled by the Document Controller.

The Bureau complies with above requirements and shall implement a procedure for the creation, revision, approval, and issuance of documents like Quality Manual, Quality Procedures, Handbook and Issuances. Likewise, the procedure shall provide for an effective monitoring, distribution, maintenance, and updating of procedures and instructions within the said manuals.

### 4.2.4 Control of Records<sup>7</sup>

**Purpose:** To provide evidence of conformity to requirements and of the effectiveness of DSWD Quality Management System.

**Responsibility:** The responsibilities of implementation lie with the DQMR, Records Controller and Custodian, and other concerned staff of DSWD.

**Method:**

- 4.2.1.1. The Bureau shall maintain records to demonstrate achievement of the QMS requirements, which shall include provision of regulatory services and its interfacing processes.

<sup>7</sup> Clause No. 4.2.4 Control of records of ISO 9001: 2008; Control of Records Procedure DSWD-SB-QP-02

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- 4.2.1.2. The designated Records Custodian shall be responsible for ensuring the integrity of records through proper handling.
- 4.2.1.3. The Bureau shall establish and implement a procedure for the identification, protection, retrieval, retention, access, filing, storage, maintenance and disposition of quality records.
- 4.2.1.4. Records shall be legible, stored, and retained in such a way that they are readily retrievable in storage facilities that provide a suitable environment to prevent damage, deterioration, or loss.
- 4.2.1.5. Records shall be handled, retained, and stored to prevent damage and deterioration.
- 4.2.1.6. Record's integrity and legibility shall be maintained by using permanent ink only. Pencils or a temporary marker shall not be used in erasing or changing data or information. Wrong data or word shall be marked out using permanent ink affixed with the signature of the person who did the change or erasures.
- 4.2.1.7. Maintenance and preservation period of records shall be defined by department/ section generating the record. Records shall be enlisted to Records Controller and Custodian using the List of Records form. Records Controller and Custodian shall maintain master list of records.
- 4.2.1.8. It is the responsibility of the DSWD to properly file and maintain their respective records during the maintenance period before transferring to Record Data Center for preservation.
- 4.2.1.9. Electronic records are managed and controlled by each office/section in coordination with Records Controller and Custodian.
- 4.2.1.10. Retention period of quality records shall be established, recorded and maintained in accordance with the Records Disposition Schedule.

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## 5.0 Management Responsibility

### 5.1 Management Commitment

- 5.1.1. DSWD's top management is committed to comply with all the requirements of ISO 9001: 2008 Quality Management System, its full implementation, and to continually improve its effectiveness.
- 5.1.2. The Department top management shall be involved in implementing the QMS. They shall provide the Strategic Direction, Thrusts and Priorities that aim to provide guidance to all DSWD Central and Field Offices in the formulation of their respective plans, Work and Financial Plans (WFP), Budget Proposals, and Performance Contracts (PC) among others.
- 5.1.3. The Head of the Department is committed to this policy through the effective implementation and continuous improvement of the QMS. This is demonstrated by the establishment of the Quality Policy, Quality Objectives/Performance Contract and conduct of management reviews.
- 5.1.4. Changes to the QMS shall be planned to ensure integrity of the system and achievement of its objectives. In maintaining and changing the QMS, standards and legal requirements indicated in existing laws, rules, regulations and other issuances shall be communicated and accommodated within the system.
- 5.1.5. Top management shall provide all the needed resources to ensure effective implementation and continuous improvement to the QMS.
- 5.1.6. The responsibility of implementation relies with the Top Management and QMR of the Department. Evidence of top management's commitment to the development and improvement of the QMS is shown through the ff manner:
- 5.1.6.1. The importance of meeting customer requirements is communicated to all employees.
- 5.1.6.2. Quality policy shall be established and communicated to employees.

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- 5.1.6.3. Quality objectives shall be established, reviewed and revised as needed.
- 5.1.6.4. Management reviews shall be conducted annually, and
- 5.1.6.5. Availability of resources is ensured at all times.

### 5.2 Customer Focus

The DSWD's purpose is to achieve customer's requirements with the aim of enhancing customer satisfaction. The responsibility of implementation lies with the DQMR of the DSWD.

- 5.2.1 Customer requirements are determined and fulfilled to enhance customer satisfaction.
- 5.2.2 To continually monitor the changing needs and requirements of customers and stakeholders, the Bureau shall regularly conduct consultation with customers and stakeholders through activities such as—but not limited to—(1) orientation about new guidelines, (2) consultation dialogues, (3) attendance to meetings, (4) feedback on the result of monitoring and technical assistance, and (5) feedback on the result of the assessment visit. Data gathered from these consultation activities shall be analyzed and action plans shall be prepared to continuously improve various areas of the Bureau's operation and to maintain customer satisfaction.
- 5.2.3 In ensuring that the welfare of SWDAs' target beneficiaries are satisfied, the standards being developed by the Bureau shall be designed to allow for a more participative and enabling relationship between the Bureau and the customers/stakeholders. Both shall share the responsibility of ensuring that the rights of the beneficiaries are protected.
- 5.2.4 The management shall communicate to all concerned personnel how important customers are to the Department and ensure that it is understood by all concerned.
- 5.2.5 Process owners shall be responsible to take necessary actions based on the feedback gathered and analyzed. The Bureau Director shall ensure that these actions are implemented.

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5.2.6 An action officer shall be designated in the Bureau to ensure availability of an officer or employee to attend to public needs such as, inquiry/advice or feedback/complaints among others.

5.2.7 Customers/stakeholders of the Bureau includes:

5.2.7.1 Social Welfare and Development Agencies

5.2.7.2 Corporation, organization, association including but not limited to National Government Agencies (NGAs), Government Owned and Controlled Corporations (GOCCs), Local Government Units (LGUs), Civil Society Organizations (CSOs), state colleges/universities, Non-Government Organizations (NGOs), civic organizations, employees associations and individuals among others.

5.2.7.3 Beneficiaries

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## 5.3 Quality Policy

DSWD is guided with the principle of providing high quality services to its customers and other stakeholders through the following Quality Policy Statement:

### DSWD QUALITY POLICY

We, at the Department of Social Welfare and Development (DSWD) as the country's lead agency in the delivery of social welfare and development programs and services, are committed to:

- ✓ Continuously improve our service effectiveness and efficiency with transparency, accountability and integrity;
- ✓ Comply with DSWD mandates and other applicable laws and policies;
- ✓ Set standards in fulfilling our regulatory mandates to enhance the capacity of intermediaries for the improved delivery of social protection programs and services;
- ✓ Innovate and improve our delivery of social protection programs through continuous quest for upgraded technologies; and
- ✓ Develop our employees to be more competent and provide a working environment that reflects QUALITY as a way of life.

The Top Management of DSWD through the Standards Bureau (SB) will lead in ensuring the fulfillment of our commitment to quality through active participation of all employees, and effective implementation and continuous improvement of the DSWD's Quality Management System.

"Isulong ang Mahusay, Matapat at Magiliw na Paglilingkod sa Sambayanan!"

  
**CORAZON JULIANO SOLIMAN**  
DSWD Secretary

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## 5.4 Quality Management System Planning

The Bureau's Major Final Output (MFO) translated into a Work and Financial Plan (WFP) and Office Performance Contract and Review (OPCR) shall be the results of annual planning and the conduct of program review and evaluation. This is the venue where the strategic thrusts shall be defined, commitments are obtained and resource requirements are determined.

Objectives and targets shall be set at appropriate levels from the Bureau down to its employees based on the thrusts and priorities of the DSWD's Major Final Output, Work and Financial Plan, Performance Governance Scorecard, among others. During regular staff meetings, these shall be reviewed, discussed, and amended, as necessary, to suit the Bureau's operational requirements.

### 5.4.1 Quality Objectives

- 5.4.1.1 The Bureau shall establish targets and objectives taking into consideration the following: (1) current and future needs of the Bureau, customers and other stakeholders; (2) relevant findings from management reviews; (3) current service and performance; (4) levels of satisfaction of stakeholders; and (5) resources needed. The Quality Commitments, which are reflected in the Office Performance Contract (OPC) shall be communicated at all levels from the top management to the Bureau down to its employees. These shall be presented, reviewed, discussed, and amended as necessary to ensure that requirements of the regulatory services are covered and included in the Bureau plan.
- 5.4.1.2 These Commitments shall be measurable, consistent with the quality policy and shall be reviewed on a regular basis and revised if needed to suit the Bureau's operational requirements.
- 5.4.1.3 Quality commitments set for QMS shall be established and translated into specific targets through the Performance Contract that is measurable and consistent with the Quality Policy.

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### 5.5 Responsibility, Authority and Communication

#### 5.5.1 Responsibility and Authority

The responsibilities and authorities of all personnel and functions involved in the implementation of the QMS shall be defined in the functional DSWD charts and job/position descriptions. These shall be communicated to all levels in the organization (the Organizational Structure of DSWD as illustrated in **Figures 4 and 5** reflects these levels) through the quality procedures manuals and orientation sessions held prior to and during the implementation of the QMS. Additional and special tasks shall be communicated through Bureau Orders, Special Orders and memoranda.

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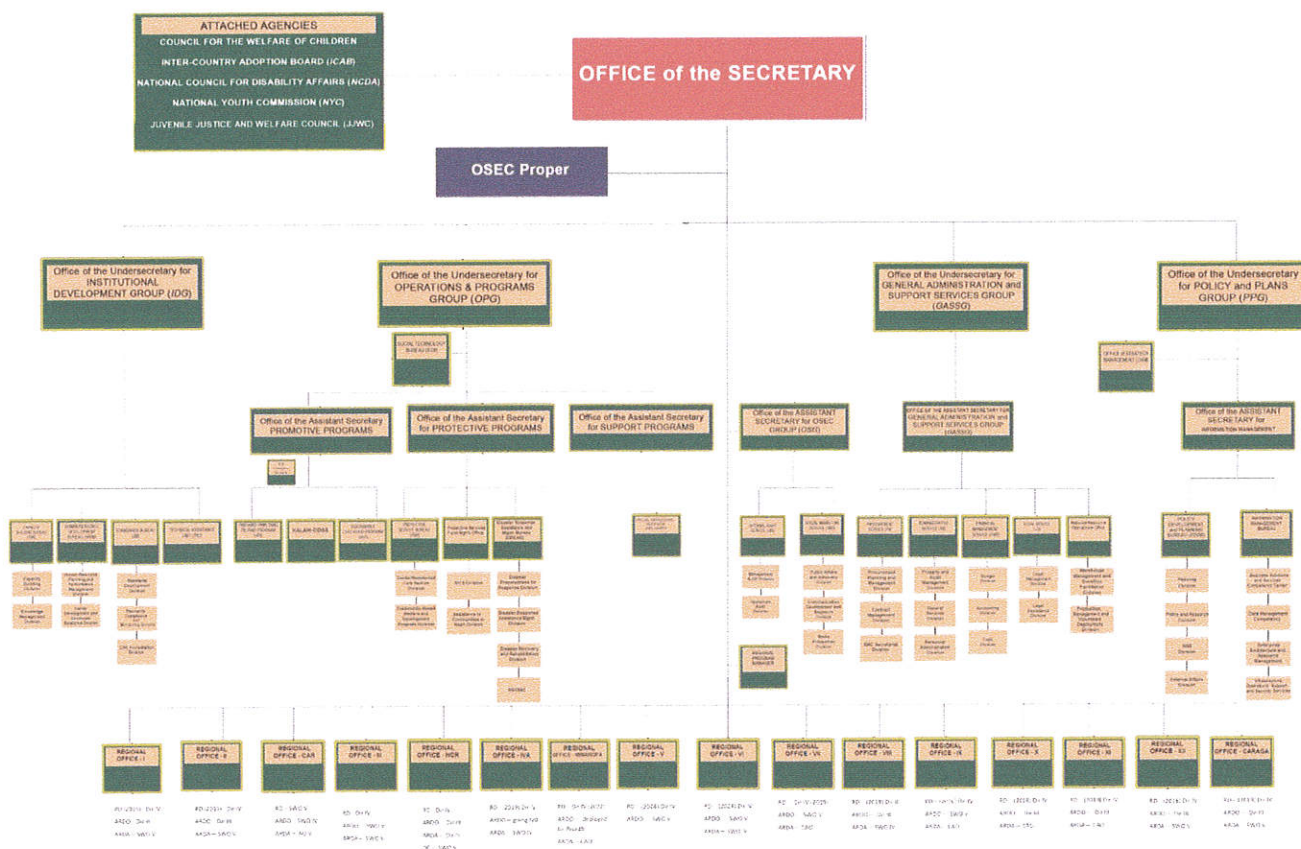


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Figure 4. Organizational Structure of DSWD



As of March 16, 2015

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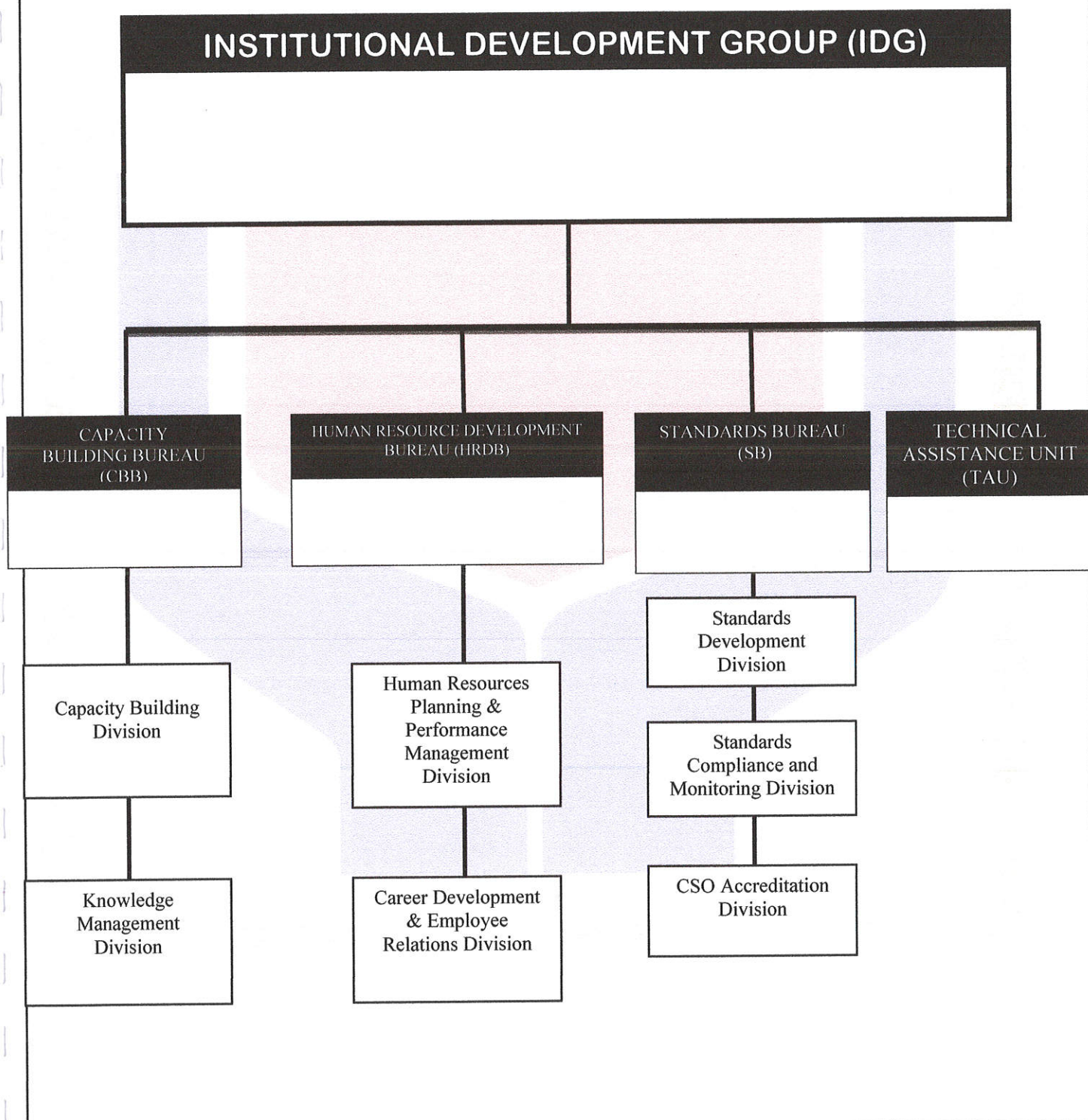
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**Figure 5. Organizational Structure of the DSWD-IDG Cluster**

## INSTITUTIONAL DEVELOPMENT GROUP (IDG)



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As to specific roles in the QMS, Core Team responsibilities shall be as follows:

*a) Top Management*

- Leads the establishment, implementation, and monitoring of the QMS;
- Ensures availability of necessary resources;
- Establishes and communicates the quality policy of the Bureau;
- Ensures that quality objectives/performance contract are established;
- Reviews the quality management system periodically and ensures that results of management reviews are in the form of specific actions;
- Ensures that appropriate communication processes are established within the organization; and
- Ensures that continual improvement of the QMS is effectively planned and implemented.
- Approves the Quality Manual.

*b) Quality Management Representative (QMR)*

- Ensures the establishment, documentation and effective implementation of the QMS;
- Ensures that procedures for Internal Quality Audit, Management Review, Corrective and Preventive Actions are established and implemented;
- Acts as liaison with external parties on matters relating to the Bureau's QMS; and
- Reports QMS performance to Top Management for review and continual improvement.
- Approves the revisions in the Quality Manual.

*c) Assistant Quality Management Representative (AQMR)*

- Assumes responsibility of the QMR in his/her absence

*d) Deputy Quality Management Representative (DQMR)*

- Oversees the establishment, documentation and effective implementation of the QMS;
- Oversees the procedures for Internal Quality Audit, Management Review and the Corrective and Preventive Actions are established and implemented

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- Approves the Quality Procedures and ensure its implementation;
- Monitors continuous compliance to QMS; and
- Assumes the responsibility of the QMR and AQMR in their absence.

### e) *Planning Team*

- Ensures that quality objectives/performance contract are established at relevant functions within the organization;
- Ensures that quality objectives/ performance contract are measurable;
- Ensures that quality objectives/ performance contract are supported by programs to achieve them; and
- Ensures that customer satisfaction is monitored as one of the measures of performance of the QMS.

### f) *Documents and Records Control Team*

- Consolidates all documentation requirements using the Bureau's format for Quality Manual and Procedures and Work Instructions;
- Maintains master copies and masterlist of the Quality Manual and Procedures and Work Instructions, as well as, the masterlist of externally generated documents and references;
- Issues and controls distribution of the Quality Manual and Procedures and Work Instructions;
- Ensures that the DSWD's document control procedure conforms to ISO 9001:2008;
- Coordinates enhancement of the Records Management Procedure; and
- Closely coordinates with division/department heads on all matters concerning Records Management.

### g) *Internal Quality Audit (IQA) Team*

- Coordinates, facilitates the establishment, and conducts and monitors the implementation of the Bureau's Audit Program;
- Identifies the necessary resources for managing the Bureau's Audit Program;
- Provides criteria for the selection of QMS auditors; and
- Coordinates and provides for the selection and training of QMS auditors.

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### *h) Training and Education Team*

- Plans and coordinates awareness-building sessions on the concepts, principles, and requirements of ISO 9001:2008 and other relevant approaches (i.e., 5S and Work Improvement Team) in order to promote understanding, active participation, commitment, and cooperation towards the establishment and sustainability of the Bureau's QMS.
- Facilitates the conduct of Capacity Building needs of the Bureau Staff.

### *i) Workplace Organization Team*

- Ensures that the work environment needed to achieve conformity to product requirements are managed;
- Ensures consistent implementation of 5S Good Housekeeping; and
- Monitors and assesses workplace cleanliness, orderliness and safety.

### *j) ISO Secretariat*

- Provides administrative and technical support to ensure successful implementation and continuous improvement of the Quality Management System;
- Facilitates the delivery of specific outputs of the project; and
- Plans and coordinates effective deployment and efficient use of human, financial, and other physical resources for the QMS

### *k) Employees*

- It is the duty of all employees of DSWD to act within the legal responsibilities imposed upon them regarding DSWD's Quality Policy. All employees are to be familiar with the policies and procedures of the DSWD, including those related to QMS.

### *l) Standards Bureau*

The Standards Bureau shall be responsible for fulfilling the regulatory and quality assurance role of the Department along development of quality assurance measures in the management of social welfare and development offices/facilities and in the implementation of programs and services for the poor, vulnerable and the disadvantaged. It shall set standards along registration, licensing of NGOs and accreditation of service providers and SWDAs implementing social welfare and development programs and services.

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Its specific tasks shall include:

- Formulate/ develop and/or revise policies and guidelines pertaining to SWD standards implementation along registration and licensing of SWDAs; accreditation of service providers and the programs and services of SWDAs; and regulation of regional and national fund campaign and duty free entry of foreign donations and handling of complaints.
- Register auxiliary agencies engaged in social welfare and development programs and services operating in more than one region.
- License social welfare agencies (SWAs) operating in more than one region.
- Accredite social welfare programs and services and service providers.
- Accredite CSO that would be engaged by Government Agencies (Gas) to implement or co-implement projects and programs using government or public funds.
- Facilitate duty-free entry of foreign donations of qualified SWDAs.
- Manage complaints and information on cases of violations against registered/licensed SWDAs; accredited service providers and SWDAs's programs and services.
- Monitor and provide technical assistance and resource augmentation to Field offices and intermediaries to ensure sustainability of quality service delivery.
- Manage information and maintain data bank on registered, licensed SWDAs, accredited service providers, CSOs and SWDAs programs and services and other relevant information to standards development, compliance and monitoring.

m) *Standards Development Division (SDD)*

SDD shall be responsible for setting standards on the implementation of Social Welfare and Development (SWD) programs and services for the poor, vulnerable, and disadvantaged individuals, families, and communities as well as formulating strategies and guidelines along registration, licensing and accreditation of service providers and SWD agencies engaged in social welfare and developments.

Its specific tasks shall include:

- Conducts environmental scanning on emerging social welfare standards, issues and trends in aid of standards development.

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- Formulate/revise policies, guidelines, tools, and instruments for registration, licensing, and accreditation of service providers, SWD agencies and organizations.
- Review/formulate/revise policies and guidelines relative to public solicitations and fund drives.
- Provides technical assistance to promote compliance with SWD standards.
- Manage information and maintain data bank relative to standards development including documentation of good practices/strategies in promoting standards compliance.

n) *Standards Compliance Monitoring Division (SCMD)*

The Standards Compliance Monitoring Division (SCMD) is responsible for ensuring compliance to SWD standards along registration, licensing and accreditation of service providers and SWD agencies implementing SWD programs and services and accessing benefits accruing to licensed and accredited service providers and SWD agencies.

Its specific tasks shall include:

- Conduct assessment, prepares confirmation report and issue corresponding certificate relative to registration and licensing of SWDAs operation in more than one region.
- Conduct assessment in the accreditation of pre-marriage counselors (PMCs), Social Workers Managing Court Cases (SWMCCs), Local Government Units (LGUs), and SWDAs engaged in the implementation of SWD programs and services.
- Assist Field Offices along monitoring of compliance with SWD standards, rules and regulations on licensing, accreditation, conduct of fund drives among others.
- Provide technical assistance to intermediaries to ensure compliance with standards and sustainability of quality service delivery.
- Respond to complaints allegedly committed by SWDAs per existing guidelines.
- Act on referrals from various agencies, organizations relative to registration, licensing, accreditation, and other related concerns.
- Manage information and maintain data bank on registered, licensed accredited service providers, agencies, organizations, and on other relevant information as basis of program, standards, systems and technology

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development, policy formulation, research, and relevant policy concerning standards and standards enforcement.

### *o) CSO Accreditation Division*

The CSO Accreditation Division primarily will serve as the secretariat for the Inter-Office Accreditation Committee to be organized as stipulated in the Joint Memorandum Circular on CSO accreditation.

Its specific tasks shall include:

- Conduct document review of all applications received for CSO accreditation and provide completed staff work for these applications.
- Conduct validation to ascertain the legitimacy, background and track record of the CSO applying for accreditation.
- Prepare recommendation to the Inter-Office Accreditation Committee based from the document review and validation of application.
- Maintain a database of accredited CSOs as well as those non-performing and black-listed based from the reports received from NGAs.
- Enhance as needed the CSO accreditation guidelines in close coordination with the SDD and Inter-Office Accreditation Committee.

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### 5.5.2. Management Representative

The QMR, AQMR and DQMR shall be responsible in assisting the Top Management in the development, implementation, and maintenance of the QMS. Likewise, they shall ensure that the processes needed for the QMS are properly put in place, consistently and continuously implemented and maintained. Responsibilities of the QMR and the other QMS team members shall be detailed in Section 5.5.1 of this manual.

The QMR or its DQMR shall be responsible for the following:

- 5.5.2.1. Initiates the creation and review of the Quality Manual, Quality System and its mandatory procedures and sub-procedures maintained in accordance with ISO 9001:2008 Standards.
- 5.5.2.2. Reports the performance of the QMS and areas that need improvements.
- 5.5.2.3. Initiates necessary arrangement for the product of internal audits and management reviews.
- 5.5.2.4. Monitors all non-conformances to the standards and initiates with concerned parties for any corrective and preventive action needed.
- 5.5.2.5. Liaises with external parties of the Department pertaining to the certification of the DSWD's Quality Management System.
- 5.5.2.6. Ensures the establishment, documentation and effective implementation of the QMS.
- 5.5.2.7. Ensures that procedures for Internal Quality Audit, Management Review, Corrective and Preventive Actions are established and implemented.
- 5.5.2.8. Supervises the implementation and revision of Quality Manual, Quality System, and the Department's compliance to all procedure and requirements set in the Quality Manual.
- 5.5.2.9. Supervises the Internal Quality Audit.
- 5.5.2.10. Monitors *all* non-conformances to the standards and initiates with the concerned parties' corrective and preventive action.
- 5.5.2.11. Coordinates with the approved ISO certifying body regarding the certification and maintenance of the Department's certification.

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### 5.5.3. Internal Communication

- 5.5.3.1.** Communication between various levels and function are ensured in matters related to the various processes of quality management system and their effectiveness.
- 5.5.3.2.** Management defines and implements effective process for disseminating the QMS, policies and feedback system through:
- 5.5.3.2.1.** Mail
  - 5.5.3.2.2.** Memorandum
  - 5.5.3.2.3.** Meeting
  - 5.5.3.2.4.** One-on-one discussion with the concerned section or personnel in DSWD
- 5.5.3.3.** Appropriate communication processes shall be established within the Bureau. These shall be demonstrated through regular meetings, written communications, i.e., memoranda and special orders, bulletin boards, internet, feedback report, phone call, and Short Message Service (SMS).
- 5.5.3.4.** The DQMR ensures that customer requirements and concerns are being communicated to all employees and stakeholders.
- 5.5.3.5.** The DQMR promotes awareness and appreciation of the quality policy, disseminates progress and effectiveness of QMS performance vis-à-vis customer satisfaction and communicates appropriate changes in the QMS.
- 5.5.3.6.** The QMS shall be cascaded to all levels in the organization.

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## 5.6. Management Review

### 5.6.1. General Management Review

Top management ensures the effectiveness of implementation and maintenance of the Bureau's services through the following:

- 5.6.1.1. Top Management shall review the quality management system at least annually or as needed to determine continued suitability, adequacy and effectiveness of the Bureau's management system.
- 5.6.1.2. The management review of the quality management system shall be done in two levels: within the Bureau; and among DQMR, AQMR, and QMR to monitor the consistency, effectiveness, and compliance to the International Standard including statutory and regulatory requirements.
- 5.6.1.3. If the situation needs immediate attention and review, the Quality Management Representative, its Deputy or the highest authority shall be responsible in setting the meeting anytime, as deemed necessary to address critical situation and problem.
- 5.6.1.4. The review will include the need for changes to Department's quality management system and/or opportunities for improvement including quality policy and quality objectives for the continuous effectiveness of the system and other program related to ISO 9001:2008.
- 5.6.1.5. A memorandum on the schedule shall be issued prior to the conduct of management review.
- 5.6.1.6. The Management Review Committee shall be composed of:
  - QMR and/or AQMR
  - DQMR
  - Standards Bureau Division Chiefs
  - ISO Core Team Leaders

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### 5.6.2 Review Input

Management must review current performance and use this as reference for continuous improvement.

**5.6.2.1.** The DQMR shall review current performance and use this as a reference for continuous improvement.

**5.6.2.2.** He/she shall chair the committee and shall issue a notice to all members of the committee, indicating the time, date, venue, and agenda for the meeting.

**5.6.2.3.** Review input shall include current performance and improvement opportunities related to the following:

**5.6.2.3.1.** Results of internal audits.

**5.6.2.3.2.** Customer feedback.

**5.6.2.3.3.** Process performance and product / service or product conformance.

**5.6.2.3.4.** Status of corrective and preventive actions.

**5.6.2.3.5.** Follow-up actions from earlier management reviews.

**5.6.2.3.6.** Changes that could affect the quality management system.

**5.6.2.3.7.** Recommendations for improvement.

**5.6.2.3.8.** Review of quality objectives and target.

**5.6.2.3.9.** Assessment of opportunities for improvement.

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## 5.6.3 Review Outputs

The DQMR shall determine the results of all the performances and other output needed by the quality management system of DSWD.

5.6.3.2. Review outputs include actions related to:

5.6.3.2.1. Improvement of the QMS and its processes.

5.6.3.2.2. Improvement of services related to customers/stakeholders/ citizens needs; and

5.6.3.2.3. Resource needed.

5.6.3.2.4. Formulated decisions and actions for the improvement of the QMS implementation.

5.6.3.2.5. Relevance & effectiveness of applied QMS in relation to registration, licensing and accreditation of SWDAs, endorsement of SWDAs for the availing of duty free of foreign donation, and issuance of authority for public solicitation.

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## 6.0 Resource Management

### 6.1 Provision of Resources<sup>13</sup>

The effective and efficient operations of any organization depend on its resources. This section on resource management pertains to the resources needed and utilized by the Standards Bureau to perform its functions in accordance with the ISO 9001:2008 standard.

- 6.1.1. DSWD shall determine and provide in timely manner the resources needed to implement and improve the processes of the quality management system and address customer satisfaction.
- 6.1.2. DSWD shall identify the resource requirements of current plans and objectives, including QMS objectives, and take steps to ensure that all plans and objectives have adequate resources for implementation and maintenance. The DSWD shall provide the necessary resources to ensure that the applicable standards are met to perform its regulatory functions.
- 6.1.3. These resources shall include people, supplies, information, infrastructure, work environment, financial resources, and continuous evaluation of staff performance, inventory and updating/upgrading of supplies, equipment, and infrastructure to meet with the demands of the customers and ensure customer satisfaction.
- 6.1.4. The DSWD-HRDB shall support all offices with manpower requirements. They shall define the Qualification Matrix of each level of function that will be used in hiring people. The concerned office shall be responsible in reviewing and analyzing the necessary trainings to ensure skills improvement and increase productivity and competency level of employees.
- 6.1.5. The Standard Bureau shall request with DSWD-HRDB regarding manpower needs including competency requirements.

<sup>13</sup> Clause No. 6.1 Provision of Resources of ISO 9001: 2008; Human Resource Procedure.

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### 6.2 Human Resources

#### 6.2.1 General<sup>14</sup>

- 6.2.1.1. Incoming Standards Bureau staff shall undergo the hiring process of the Department. The competence and suitability of each staff shall be ensured through the set of required qualification set by the Department, such as education, experience, training, eligibility and other requirements as set by the Human Resource Development Bureau (HRDB).
- 6.2.1.2. Aside from the general requirements set by the DSWD, the Bureau shall also assist HRDB through the provision of the additional qualifications that shall improve the performance of the Bureau's functions.
- 6.2.1.3. The Bureau shall be involved in the interview, selection, and recommendation of shortlisted applicants to the HRDB. Qualifications and competence shall be reviewed and evaluated by the screening committee who shall recommend the best candidate for the position. The approving authority shall be based on the level of the position per existing DSWD guidelines and policies.
- 6.2.1.4. Job descriptions shall define each staff's level of authority and responsibility of delivering quality service. They shall be appropriately trained to be competent on their job assignment. Each staff shall be tasked to prepare his/her Individual Performance Contract and Review (IPCR) according to the prescribed timeline of the Department which shall indicate their commitment to the Bureau. This shall ensure that the targets are met and that the performance meets the quality standards based on the commitment of the staff.
- 6.2.1.5. Evidence of relevant qualifications and experience shall be maintained in staff's 201 files that include the annual Personal Data Sheet (PDS), statement of assets, liabilities and net worth (SALN) and photocopies of certificate of trainings and seminars attended, among others.

<sup>14</sup> Clause No. 6.2.1 Human Resources-General of ISO 9001: 2008; Human Resource Procedure.

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### 6.2.2 Competence, Awareness and Training

The Department shall ensure that all trainings related to employee competency are being performed adequately by trained personnel through the following:

- 6.2.2.1. Competency needs shall be identified properly.
- 6.2.2.2. The training needs shall be identified as per requirements and the effectiveness of the training provided is evaluated.
- 6.2.2.3. Employees shall be made aware of the relevance and importance of their activities and contributions to the achievement of the quality objectives.
- 6.2.2.4. The appropriate records of education, experience, training and qualifications shall be maintained.
- 6.2.2.5. All employees shall be thoroughly oriented and properly trained in the tasks that they are expected to perform. All new employees shall undergo an orientation session scheduled by the HRDB to ensure that they are briefed on the rules and regulations of DSWD.
- 6.2.2.6. The Bureau shall be committed to the continuous improvement of the skills and knowledge and the professional development of its staff. It shall ensure that the knowledge and skills of its staff meet the requirements and needs to perform its regulatory services. Areas requiring knowledge and skill improvement shall be identified through training feedback, direct requests, and staff meetings.
- 6.2.2.7. Gap assessment shall be performed by the Standards Bureau Management to assess the current competencies of the staff versus the required competencies to perform its regulatory functions.
- 6.2.2.8. As the gaps are identified, the management shall see to it that they are addressed through action planning with the concerned staff.
- 6.2.2.9. The action plans developed shall be implemented and monitored by the division chief every two (2) months until the gaps are bridged.

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6.2.2.10. The staff's performance contract and performance appraisal matrix shall be used to gauge the staff's actual performance. This shall enable the Division Chief to determine the interventions needed to close the gap and ensure that the actual performance shall be aligned with the desired performance.

6.2.2.11. The Bureau shall maintain training records including education, skills, and experience for all its employees including its contractual and MOA employees.

### 6.3 Infrastructure<sup>15</sup>

6.3.1. The Department shall provide infrastructures including building, workspaces, communication gadgets, transportation, and information system to provide quality service to its customers and other stakeholders.

6.3.2. The Bureau needs the basic physical infrastructures and equipment to ensure that the requirements to process the transactions of the stakeholders are within the set standards. The basic infrastructures needed to facilitate day to day operations include office spaces, receiving area, records room, and conference room. Equipment such as computers, printers, and copy machine are necessary to deliver quality services and meet the demands of customers and other stakeholders.

6.3.3. The management determines and manages appropriate system that shall conform to the minimum required work needed to provide quality service to its customers and stakeholders.

6.3.4. Annual inventory of assets and facilities shall be conducted by the General Administration and Support Services Group (GASSG), a cluster within DSWD, to ensure conformity to standards. Non-conforming assets or facilities shall be documented. They shall either undergo maintenance and repairs or disposal in coordination with other offices, bureaus, services, and units (OBSU) per DSWD rules and regulations.

6.3.5. The Bureau shall coordinate with various units of GASSG for the following support processes:

<sup>15</sup> Clause 6.3 Infrastructures of ISO 9001:2008

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DEPARTMENT OF SOCIAL  
WELFARE AND  
DEVELOPMENT (DSWD)

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- 6.3.5.1. Inventory and records keeping on all fixed assets
- 6.3.5.2. Issuance, safeguarding and updating of memorandum receipts for equipment
- 6.3.5.3. Provision of water and power supply, clean and healthy work environment
- 6.3.5.4. Procurement of logistical support whether goods or related services, either through purchase or lease
- 6.3.5.5. Technical assistance on administrative concerns, as necessary

### 6.4 Work Environment

The Bureau shall implement a 5S program to support its work environment.

#### 6.4.1 The Bureau shall ensure that:

- 6.4.1.1. The human and physical factors of the work environment to achieve conformity to service requirement shall be identified and managed. The work environment shall have a positive influence on motivation, satisfaction, and performance of the staff in order to provide quality services in relation to its regulatory functions.
- 6.4.1.2. Cleanliness, illumination, hygiene, and ventilation of surroundings shall be managed through the implementation of 5'S.
- 6.4.1.3. The human factors like creative opportunities, safety rules, use of safety equipment and ergonomics are taken care of.
- 6.4.1.4. Work environment is appropriate to the needs of the employees to ensure that service requirements of customers are being met. This work includes physical and environmental factors like weather, lighting, sounds, and temperature.

#### 6.4.2 Information Management

The Information management shall include the following:

- 6.4.2.1. Online database website (swda-sp.dswd.gov.ph)

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The website shall be maintained by the ICTMS. Its data shall be accessible to the public through [www.swda-sp.dswd.gov.ph](http://www.swda-sp.dswd.gov.ph). The updating of data shall rest on the staff of the Bureau (SB) and its counterparts in FOs (Standards Units or SUs).

#### 6.4.2.2. DSWD website

The DSWD website shall be owned and managed by the Department. It shall include updates and other topics related to various OBSUs of DSWD. New administrative orders, issuances, forms, and memorandums that will affect the stake holder shall be uploaded to the site.

The Standards Bureau shall ensure that these administrative orders, issuances, forms, and memoranda will be submitted to the SMS to ensure that they can be found in the website.

#### 6.4.2.3. Standards Bureau Facebook

The Standards Bureau shall maintain a social media account on Facebook, which is one of the means for press releases and exchange of messages with the public/customers. The Facebook account [www.facebook.com/DswdStandardsBureau](http://www.facebook.com/DswdStandardsBureau) shall be owned and managed by the Standards Bureau.

#### 6.4.2.4. Communications Management

Correspondence within the Department and with the stake holders shall be maintained. The procedure on document and records control shall be observed.

#### 6.4.2.5. Provision of Administrative Support<sup>16</sup>

The staff shall be provided with the appropriate administrative and logistical support to include:

- Preparation of documents in relation to procurement

<sup>16</sup> Clause No. 6.4 Work Environment of ISO 9001: 2008; Applicable HRDB Policies; DSWD Administrative Policies.

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- Administrative services in relation to local travels relative to registration, licensing, accreditation, monitoring, and provision of technical assistance.
- Processing of cash advance or liquidation of staff
- Provision of documents in relation to the conduct of registration, licensing and accreditation (i.e. accreditation tools)

### 7.0 Service Realization

#### 7.1 Planning of Service Realization<sup>17</sup>

7.1.1. The planning of service realization shall be consistent with the Department's mandates. The Standards Bureau shall plan sequence of process and sub-processes required for its services to meet customer requirement/s.

7.1.2. DSWD shall plan the following:

7.1.2.1. Quality objectives for the whole Standards Bureau's processes and operations,

7.1.2.2. The need to establish processes and documentation and provide resources and facilities specific to the service requirement provided by the department.

7.1.2.3. Verification, validation, monitoring, inspection, and test activities of the Department's services,

7.1.2.4. The necessary records to provide evidence of conformity of the processes including results.

7.1.3. A Quality Control Plan is documented for each process to ensure proper execution of required services. Services process controls are determined to ensure consistent quality of service/s. The Quality Control Plan describes the flow and measurement of the Bureau's services.

<sup>17</sup> ISO 9001:2008 Clause 7.1 Planning of Service Realization.

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7.1.4. The review of the overall performance of the Quality Management system is conducted during scheduled internal audit to ensure consistency with documented procedures. The review includes the identification of potential non-conformities and its prevention, opportunities for improvement, and quality matters.

### 7.1.5. The Bureau Targets and Activities

7.1.5.1. Activities shall be planned based on the Bureau's Major Final Output, current Thrusts and Directions as anchored in the DSWD's approved Work and Financial Plan (WFP).

7.1.5.2. The WFP shall be translated into a Division and individual targets as indicated in the Performance Contract.

7.1.5.3. Assignment of staff/teams and the succession of authority will be formalized through an issuance of a corresponding Bureau Order and Special Order.

### 7.1.6. Performance of Regulatory Services

7.1.6.1. The documents that will be used in the provision of regulatory services include approved guidelines and existing handbook and primers.

7.1.6.2. Prior to the assessment activity, the staff will prepare their individual travel plans as discussed with their respective teams to ensure that each team will have a focal staff left in the office to respond to the queries of stake holders within their geographical area of assignments.

7.1.6.3. Said travel plan will be approved by the Bureau Director as recommended by the Division Chief, and will then be the basis for the preparation of a Special Order approved by the Undersecretary or authorized official.

7.1.6.4. When assessing a SWDA, the staff concerned will prepare a letter signed by the Bureau Director to notify the SWDA on the purpose of the visit and the scheduled date.

7.1.6.5. The FO concerned will be furnished with a copy of said letter for their information.

## 7.2 Customer-related processes

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### 7.2.1 Determination of requirements related to product/service

Staff shall determine the requirements related to the DSWD's operations/services.

7.2.1.1. The following requirements shall be determined:

7.2.1.1.1. Requirements specified by the customer

- Promptness of services
- Relevant/Substantive Technical Assistance
- Matapat, Mahusay at Magiliw na paglilingkod

7.2.1.1.2. Statutory and regulatory requirement

Documentary and legal requirements for the following processes are based on the existing and applicable guidelines:

- a. Registration of Auxiliary Social Welfare and Development Agencies
- b. Registration and Licensing of Social Welfare Agencies
- c. Accreditation of Social Welfare and Development Programs and Services
- d. Duty Free Entry of Foreign Donations
- e. Authority to Conduct National Fundraising Campaign

### 7.2.2. Review of requirements related to DSWD Services<sup>18</sup>

7.2.2.1. Step-by-step requirements' review and activities for the service processes of Standards Bureau are also indicated in the existing DSWD guidelines.

7.2.2.2. The customers/stakeholders shall be informed that the Standards Bureau shall facilitate their request through formal communication such as acknowledgement letter or reply letter stating the actions taken on the request.

<sup>18</sup> Clause No. 7.2.2 Review of Requirements Related to Product/Service of ISO 9001: 2008.

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## 7.2.3 Customer Communication<sup>19</sup>

Services provided by the Department shall be communicated with the customer effectively to include.

7.2.3.1 Information on Standard Bureau's regulatory services, processes and updates may either be communicated to the customers/stakeholders through Information Education and Communication (IEC) materials process flowcharts, guidelines, website, NGO corner/bulletin, e-mails, Short Message Service (SMS), Social Networking Sites, and on-line database system, among others.

7.2.3.2 In the event that the customers/stakeholders have complaints against Standard Bureau official or staff, the process to be followed are indicated in Section 8.2.1 while complaints of beneficiaries against SWDAs shall be managed in accordance to existing applicable guidelines on handling complaints.

7.2.3.3 DSWD top management in coordination with other related division or section shall review the customer's initial queries and check the availability of the resources needed in relation with the service to continuously meet the demands of the customer.

<sup>19</sup> Clause No. 7.2.3 Customer Communication of ISO 9001: 2008.

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## 7.2.4. Purchasing

This QMS manual excludes Purchasing as DSWD has a centralized procurement process through the Procurement Service and Bids and Awards Committee that manages and monitors procurement activities and processes of the different offices of the Department.

The Actual Procurement processes such as 1) review of Requisition and Issue Slip (RIS); 2) determination of appropriate mode of procurement; 3) facilitation/monitoring of procurement process are being handled by the Procurement Service (PS) with the Bids and Awards Committee (BAC). On the other hand, the Bureau participates only in the pre-procurement process such as the preparation of purchasing information to include RIS and Purchase Request (PR) and other requirements based on the approved Project Procurement Management Plan (PPMP) which provide the requirements that shall facilitate the delivery of regulatory services to SWDAs.

The control for the engagement with the suppliers and the products/services purchased is under the PS. The Bureau also participates in verification of Purchase Product through inspection of delivered items based on specification/ requirements of the items requested prior acceptance.

Maintenance of procurement records are being kept by the Procurement Service such as pre-evaluation of suppliers, inspection of goods/service, post-evaluation of suppliers. On the other hand, SB's records are only limited to photocopies of approved RIS.

## 7.3. Service Provision

### 7.3.1 Control of Service Provision<sup>20</sup>

This is established to ensure that the provision of DSWD services are under controlled conditions

7.3.1.1. Service provision is planned and carried out under controlled conditions:

7.3.1.1.1. Following special or administrative order

<sup>20</sup> Clause No. 7.5.1: Control of Production and Product / Service provision of ISO 9001:2008.

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7.3.1.1.2. Availability of information describing characteristics of the product

7.3.1.1.3. Availability of work instructions where necessary

7.3.1.1.4. Implementation of monitoring and measurement of process when necessary

7.3.1.1.5. Implementation of delivery of service activities

7.3.1.2. All service criteria and necessary monitoring and measurement shall be defined in appropriate guidelines.

7.3.1.3. Concerned personnel shall ensure that all suitable equipment necessary to the provision of DSWD services where necessary shall be maintained at all times.

### 7.3.2 Validation of processes for service provision<sup>21</sup>

This provision is established to meet the service characteristic where resulting output of the service requirement cannot be verified by monitoring and measurement devices.

7.3.2.1. The delivery of DSWD service is being monitored and measured through validation. Validation of delivery and processes of DSWD services demonstrate the ability of these processes to achieve planned result.

7.3.2.2. Arrangement are established for these processes as applicable from the ff:

7.3.2.2.1. Defined criteria for review and approval of the processes

7.3.2.2.2. Approval of equipment and qualification of personnel

7.3.2.2.3. Use of specific methods and procedures

7.3.2.2.4. Revalidation

<sup>21</sup> Clause No. 7.5.2 Validation of Processes for Product/Service Provision of ISO 9001:2008.

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### 7.3.3. Identification and Traceability<sup>22</sup>

This provision is established to identify and analyze the problems arising at any stage in the delivery of DSWD services for initiating corrective action.

7.3.3.1. DSWD services provided are identified, where appropriate by suitable means throughout service operations.

7.3.3.2. The unique identification of these services, where traceability is a requirement, is controlled and recorded.

### 7.3.4. Customer Property<sup>23</sup>

This is to protect and safeguard customer property provided for use into DSWD operations.

7.3.4.1. Proper care is taken on customer property, when it is under control of DSWD e.g. customer information.

7.3.4.2. Customer property provided for use or incorporation into service provided is identified, verified, protected and safeguarded.

### 7.3.5. Preservation of Product / Service

This is established to ensure the conformity of product or service during internal processing and delivery of product or service to customer.

7.3.5.1. The conformity of DSWD product or service during processing and delivery of service is preserved. This includes identification, handling, confidentiality, commitment and protection.

7.3.5.2. The product or service rendered to customers shall be in accordance with the standard of the Bureau.

<sup>22</sup> Clause No. 7.5.3 Identification and Traceability of ISO 9001:2008.

<sup>23</sup> Clause No. 7.5.4 Preservation of Product/Service of ISO 9001:2008.

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# QUALITY MANAGEMENT SYSTEM MANUAL

## 8.0. Measurement, Analysis and Improvement

### 8.1. General Requirement of Measurement , Analysis and Improvement<sup>24</sup>

The Bureau shall plan and implement monitoring, measurement, analysis and improvement processes needed to:

- 8.1.1. Demonstrate conformity to adhere to legal requirements such as DSWD requirements, SEC, international & national policies, Department of Budget and Management and other applicable issuances;
- 8.1.2. Ensure conformity of Quality Management System (QMS); and
- 8.1.3. Continually improve the effectiveness of the QMS.

### 8.2. Monitoring and Measurement

#### 8.2.1. Customer Satisfaction

This provision is established to measure the customer satisfaction for continual improvement.

- 8.2.1.1 The information relating to customer perception of fulfillment to ISO 9001 requirements is monitored as one of the measurements of the performance of DSWD QMS.
- 8.2.1.2. As one of the measurements of the performance of Quality Management System, the Bureau shall develop methods for monitoring, measuring and improving customer quality satisfaction levels. Any of the following methods shall be used to collect data regarding customer satisfaction:

<i>Method</i>	<i>Venue</i>	<i>Frequency of Collection/Analysis</i>
Consultation with stakeholders	Field Offices	As necessary
Monitoring	Field Offices	Semestral

<sup>24</sup> Clause No. 8.1: General of ISO 9001:2008.

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<i>Method</i>	<i>Venue</i>	<i>Frequency of Collection/Analysis</i>
Technical Assistance	Standards Bureau and Field Offices	Semestral
Letter/correspondence	Standards Bureau	Semestral
Survey Form	Standards Bureau and Field Offices	Semestral
E-mail/s	Standards Bureau	Semestral
Telephone	Standards Bureau and Field Offices	Semestral

8.2.1.3. The Bureau shall conduct at least an annual review of all quality concerns, service performance and promptness of service to customer through the said table. The responsible and authorized DSWD personnel shall review performance data vis-à-vis plan to improve the QMS and the quality service provided by DSWD.

8.2.1.4 DSWD's authorized personnel shall be responsible in receiving customer complaints and coordinate said complaint with concerned DSWD personnel for investigation and to further come up with appropriate corrective and preventive action.

8.2.1.5. This section shall also include handling of valid complaints from customers/stakeholders based on applicable laws and policies. The concerned staff shall facilitate the following:

- a. Documented nature and details of written complaint with signature of the complainant.
- b. Meeting/schedule to discuss concerns and issues.
- c. Documented discussion on concerns and issues identified and agreements on doable actions and timeline for resolution.
- d. Feedback report to the Division Chief and Bureau Director for comments, suggestions and inputs.
- e. Approved feedback report.
- f. Implementation of the agreed actions/activities and communication to inform the complainant of the resolution of the complaint.

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- g. Documented appreciation, comment and feedback from the complainant on the resolution of the complaint.

8.2.1.6. The SB ManCom, composed of the Bureau Director and Division Chiefs, shall initially handle/facilitate all complaints of SWDAs against staff.

### 8.2.2. Internal Quality Audit<sup>25</sup>

Internal Quality Audit is established to assess the effectiveness of implementation of DSWD QMS. This type of audit shall be performed at least annually or as needed to ensure that the current practices are being carried out as defined in QMS documented procedure. Internal Quality Audit shall be reviewed during management review meeting.

8.2.2.1 The Internal Audit Team shall be responsible for administering the Bureau's internal audit system according to the IQA documented procedure. The Bureau shall implement the procedure as cited under DSWD-QP-SB-04.

8.2.2.2 The Internal Quality Audits shall be conducted at periodic interval to determine whether DSWD QMS:

8.2.2.2.1 Conforms to the planned arrangements, to the requirements of the International Standard and to the QMS established by the Bureau.

8.2.2.2.2 Has been effectively implemented and maintained.

8.2.2.3. The audit criteria, scope, frequency and methods shall be defined in IQA procedure.

8.2.2.4. The selection of auditors shall be based on competency and impartiality. Auditors are aware that they shall not audit their own work.

8.2.2.5. The conduct of audits by qualified auditors shall ensure the objectivity of the audit process.

<sup>25</sup> Clause No. 8.2.2 Internal Audit of ISO 9001:2008; Internal Audit Procedure.

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8.2.2.6. The IQA procedure defines the responsibilities and requirements for conducting audits, reporting results and maintaining records.

8.2.2.7. Personnel responsible for the area being audited shall take corrective action without undue delay to eliminate detected nonconformities and their causes.

8.2.2.8. The IQA Team Leader shall prepare annual audit plan to reflect at least once a year IQA or as needed depending on the status and importance of the processes, area to be audited as well as the result of previous audit. Said plan shall be approved by the DQMR.

8.2.2.9. The periodic IQA schedule shall cover the following:

8.2.2.9.1. Extent of implementation of the documented procedures

8.2.2.9.2. Review of the previous audit

8.2.2.9.3. QMS performance result

## 8.2.3 Monitoring and Measurement of Processes<sup>26</sup>

This is established to ensure continuing suitability of DSWD processes to meet customer and stakeholder's requirements.

DQMR shall be responsible on this provision.

8.2.3.1 The Bureau applies appropriate methods for the measurement and monitoring of QMS processes. This is to ensure that processes are geared towards achieving the desired result satisfactorily.

8.2.3.2 Processes are regularly monitored and measured by comparing the actual accomplishments with planned target as defined in the Bureau's Performance Contract.

<sup>26</sup> Clause No. 8.2.3: Monitoring and Measurement of Process of ISO 9001:2008.

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8.2.3.3 When these targets are not achieved, corrective measures shall be applied as necessary to ensure that the Bureau's deliverables are achieved.

8.2.3.4 Suitable methods are applied for monitoring and where applicable, measurement of the QMS processes.

8.2.3.5 Data shall be gathered during delivery of DSWD services, interaction with customers in measuring and evaluating service capability using records, on-time delivery and other monitoring controls. The following information shall be documented:

8.2.3.5.1. Timeliness as indicated in the flowcharts

8.2.3.5.2. Applicable laws, guidelines/policies are cited in acknowledgement letters, confirmation reports and other correspondence

8.2.3.5.3. Procedures in existing guidelines and handbooks

8.2.3.5.4. Name of staff who facilitated the services

8.2.3.6 The monitoring and measuring of quality services shall be done through monthly and quarterly reports, PC checkpoint and Performance Governance Scorecards (PGS).

8.2.3.7 The consolidation and analysis of data shall be done semi-annually or as required by the Bureau Director.

8.2.3.8 Handling of nonconformity during monitoring of process shall be consistently implemented in accordance with corrective and preventive action procedure.

### 8.2.4. Monitoring and Measurement of DSWD Product or Service<sup>27</sup>

This is established to ensure conformance of service characteristics as per customer or stakeholder's requirement.

8.2.4.1 The characteristics or quality of the product or service are monitored and measured to verify that the requirements are met.

<sup>27</sup> Clause No. 8.2.4: Monitoring and Measurement of Product / Service of ISO 9001:2008.

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- 8.2.4.2 This is carried out at appropriate stages of the services realization process in accordance with the planned arrangement.
- 8.2.4.3 Evidence of conformity with accepted criteria is maintained. Records indicate the authority responsible for the acceptance of the requirement of the customer.
- 8.2.4.4. DSWD services shall not proceed until all the planned arrangements are satisfactorily completed, unless otherwise approved by the relevant authority.
- 8.2.4.5 Relevant DSWD service/s procedures shall be established and used as basis of measurement and monitoring.
- 8.2.4.6 Authorized personnel of DSWD shall be responsible in inspecting the service/s provided if it is within the standard and specification. The authorized personnel shall review the result of inspection.
- 8.2.4.7 The employees shall be responsible to ensure that the services provided by DSWD are in accordance with the guidelines, standard operating procedures and other government rules and regulation.
- 8.2.4.8 The authorized personnel of the department shall ensure that all services rendered have undergone appropriate inspection.

### 8.3. Control of Nonconformity

This requirement is needed to prevent unintended application of any nonconformity.

- 8.3.1 A documented procedure shall be established to control nonconformities. Services which do not conform to DSWD requirements shall be identified, documented, and controlled to prevent unintended application.
- 8.3.2. For actions to be taken on nonconforming services, a nonconformity matrix shall be used. Refer to procedure DSWD-SB-QP-05.
- 8.3.3. When nonconforming services are corrected, it shall be subject to re-verification to ensure conformity to the requirements.

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8.3.4 Records such as list of the nature of nonconformities and any subsequent actions taken are maintained.

Nonconforming services are deviations from the standards and procedures. Appropriate interventions in accordance to applicable standards and guidelines shall be determined and implemented to address such nonconformities.

### 8.4. Analysis of Data<sup>28</sup>

Analysis of data is established to identify areas for improvement.

8.4.1 The Standards Bureau shall analyze appropriate data to demonstrate the quality, appropriateness and effectiveness of the QMS and to evaluate where continual improvement can be made.

8.4.2 These data shall include information generated by measuring and monitoring activities along the processes of service delivery or when there are SWDAs complaining or providing feedback. Information to be analyzed shall include those mentioned in items 8.2.1 and 8.2.3.

8.4.3 The analysis of data provides information relating to:

8.4.3.1. Customer satisfaction

8.4.3.2. Conformance to service requirements

8.4.3.3. Characteristics and trends of DSWD's operation including opportunities for preventive action.

8.4.4. The Bureau regularly analyzes the data collected in the monitoring, measurement and evaluation of the QMS and process performance and effectiveness on semestral basis or as required by the Director.

8.4.5. This process shall include comparative analysis of the previous and current performance to provide basis for continual improvement, planning and decision making.

8.4.6. The DQMR shall spearhead the analysis of data. The data gathered shall be compiled and analyzed to evaluate the total performance of DSWD.

<sup>28</sup> Clause No. 8.4: Analysis of Data of ISO 9001:2008.

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## 8.5. Improvement

### 8.5.1. Continual Improvement<sup>29</sup>

This provision is established to demonstrate the continual effectiveness of DSWD Quality Management System.

- 8.5.1.1. The effectiveness of DSWD QMS shall be continually improved through the use of the quality policy, quality commitment, analysis of data, corrective and preventive actions and the management review.
- 8.5.1.2. The Bureau shall utilize the analyzed data on QMS and process monitoring activities for its continual improvement.
- 8.5.1.3. Identified interventions shall be implemented to ensure conformity to standard and requirements.
- 8.5.1.4. The DQMR and other responsible personnel of DSWD shall provide evidence and presents opportunities for the improvement of DSWD performance, activities and services. DSWD shall be responsible in establishing processes and procedures for the continual improvements. It shall also entrust employees by setting objectives for any project or activities and recognized their achievement/s.
- 8.5.1.5. DSWD shall support Continuous Improvement program/s by integrating it in the existing processes as breakthrough opportunities that will benefit the department and its employees.
- 8.5.1.6. The corrective and preventive actions to objectives and targets shall form part of DSWD's continuous improvement.

### 8.5.2. Corrective Actions

<sup>29</sup> Clause No. 8.5.1 Continual Improvement of ISO 9001:2008.

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## QUALITY MANAGEMENT SYSTEM MANUAL

This provision is established to eliminate the cause of nonconformity in order to prevent recurrence.

8.5.2.1. The Bureau shall take action to eliminate the causes of non conformities in order to prevent recurrence.

8.5.2.2. Corrective action shall be appropriate to the effect of the nonconformity encountered.

8.5.2.3. Procedures for corrective actions shall be detailed in DSWD-SB-QP-04, Corrective and Preventive Action. This procedure define requirements for:

8.5.2.3.1. Identifying non-conformities including customer complaints.

8.5.2.3.2. Determining the causes of non-conformities.

8.5.2.3.3. Evaluating the need for actions to ensure that non-conformities do not recur.

8.5.2.3.4. Determining and implementing the actions needed.

8.5.2.3.5. Recording results of action taken.

8.5.2.3.6. Reviewing corrective action taken.

8.5.2.4. Corrective Action procedure is established to define and eliminate the cause of nonconformity and prevent recurrence of problems encountered. These non-conformities may include service non-conformities, customer complaints, internal and external audit results, and management review inputs.

8.5.2.5. DSWD is responsible for the investigation of the non-conformity and generation of appropriate corrective actions.

8.5.2.6. Appropriate preventive and corrective action shall be determined and reviewed. The proposed corrective action shall be evaluated by concerned personnel.

8.5.2.7. Concerned personnel implementing the corrective action or his / her superior are responsible for the verification of the result to determine the effectiveness of the action taken.

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8.5.2.8. Records of the corrective action taken and verification results are maintained in accordance with the control of record procedure.

8.5.2.9. Changes that may affect existing documents, as a result of the implemented corrective action shall be applied and recorded. The applied change shall follow the control of document procedure.

### 8.5.3. Preventive Action<sup>30</sup>

This is done to eliminate the cause of non-conformities in order to prevent recurrence.

8.5.3.1. Preventive action is determined to eliminate the causes of potential non-conformities to prevent occurrence.

8.5.3.2. These preventive actions are appropriate to the effects of the potential problems.

8.5.3.3. Preventive action procedure is established to define requirements from:

8.5.3.3.1. Determining potential non-conformities and their causes,

8.5.3.3.2. Evaluating the need for action to prevent occurrence of non-conformities,

8.5.3.3.3. Determining and implementing action needed,

8.5.3.3.4. Recording results of action taken and

8.5.3.3.5. Reviewing preventive action taken

8.5.3.4. Preventive action procedure is established to identify and eliminate the occurrence of potential nonconformity.

8.5.3.5. Potential nonconformity shall be identified from the analysis of information from management reviews, customer complaints and feedbacks, inspection results, and problems encountered during

<sup>30</sup> Clause No. 8.5.3: Preventive Action of ISO 9001:2008; Corrective and Preventive Action Procedure.

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DEPARTMENT OF SOCIAL  
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DEVELOPMENT (DSWD)

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process. Analysis shall be done to determine the cause of potential nonconformity and come up with appropriate preventive actions to address its cause. The need for preventive action shall be determined and evaluated.

8.5.3.6. Preventive actions shall be appropriate with the result or effects of potential problems.

8.5.3.7. Verification of the effectiveness of preventive action shall be conducted and the results shall be recorded and maintained.

8.5.3.8. Changes affecting the QMS and/or existing procedures as a result of implementation of such preventive action shall be applied and recorded.

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