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Department of Social Welfare and Development

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SUBJECT: REVISED OMNIBUS RULES AND REGULATIONS ON PUBLIC SOLICITATION

1.0. RATIONALE

The Presidential Decree (PD) No. 1564 of 1978, also known as the “Solicitation Permit Law”, mandated the Department of Social Welfare and Development (DSWD) to issue solicitation permit to any person, corporation, organization, or association desiring to solicit or receive contributions for charitable or public welfare purposes at the DSWD Regional Offices. On the other hand, the Executive Order (EO) No. 24 series of 2001 “Delegating to the Department of Social Welfare and Development the Authority to Grant Authorization for the Conduct of National Fundraising Campaigns” directed the DSWD Secretary the final authority to approve or disapprove requests for the conduct of national fundraising campaigns.

In order to operationalize the two (2) issuances, the DSWD Administrative Orders No. 14 series of 2007 entitled “Revised Omnibus Rules and Regulations on Public Solicitations” was issued to regulate the practice of public solicitation for charitable and public welfare purposes in the Philippines at both regional and national levels. This provided the necessary requirements, procedures, mechanism and penalties in the conduct of public solicitation. Another issuance, DSWD AO No. 18, series of 2010, provided addenda to the first issuance by incorporating provisos on individual solicitation as well as an assertion that photo listing—the impudent posting of photos and identifying information of a child in printed and electronic materials intended for public solicitation—is strictly prohibited.

However, the issuance of two different guidelines regulating the practice of solicitation sometimes creates confusion to its users, thus the need to merge them into one (1) guideline document. Likewise, in a consultation of the Department with its various stakeholders e.g. social welfare and development agencies (SWDAs), local government units (LGUs), government agencies and DSWD Field Offices (FO), a necessity was found to make the guidelines attune with the existing issues and experiences in the conduct of fundraising activities; hence, this revision.

2.0. OBJECTIVES

This guideline primarily serves to regulate and enforce standard guidelines to persons, corporations, organizations, or associations desiring or conducting solicitation activities for public and charitable purposes. Other objectives include:

- 2.0. Promote transparency and accountability in the conduct of public solicitation by any person, corporation, organization, and association for charitable or public welfare purposes;

- 2.1. Ensure an efficient facilitation of funds solicited from the public;
- 2.2. Ensure compliance of any persons, organizations or associations that were issued solicitation permit/authority to conduct fundraising campaign by the DSWD; and
- 2.3. Provide and implement penalties or sanctions to those who violated the policies and procedures of these guidelines.

3.0. LEGAL BASES

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

- 3.1. **Presidential Decree No. 1564 (*Amending Act. No. 4075 otherwise known as Solicitation Permit Law*)**—This directive was an amendment to the Solicitation Permit Law of 1933 and was crafted in light of substantial social and economic changes that have taken place in the country considering that previous law is no longer attuned to present conditions. It has mandated the FO of the Department to issue permits to persons, corporations, organizations, or associations desiring to solicit or receive contributions within a specific region for charitable and public welfare purposes.
- 3.2. **Executive Order No 24, series of 2001 (*Delegating to the DSWD the Authority to Grant Authorization for the Conduct of National Fundraising Campaign*)**—This mandates the DSWD Secretary to have the final authority to approve or disapprove requests for the conduct of *national-level fund campaigns*. This was made in accordance to a provision in the **Executive Order No. 15, series of 1998** which grants the Department a power to regulate fund drives, public solicitations and donations for charitable or welfare purposes.
- 3.3. **Presidential Decree No. 1563 (*Mendicancy Law of 1987*)**—This law has established a system to (1) prevent the commission of mendicancy as well as the exploitation of infants and children through mendicancy and (2) provide rehabilitative services for those already exploited or in immediate danger of exploitation.
- 3.4. **Executive Order No. 292 (*The Administrative Code of 1987*)**—It sets forth the standards, guidelines, and practices within the executive branch of the government, and establishes the various Cabinet-level offices falling within the executive branch, including the DSWD.
 - 3.4.1. **Title XVI, Chapter 1 (*General Provisions*), Section 3 (*Powers and Functions*), Item 13**—states that “*to accomplish DSWD mandate and objectives, it shall regulate fund drives, public solicitations and donations for charitable or welfare purposes.*”
 - 3.4.2. **Title XVI, Chapter 9 (*Fund Drive*), Section 20**—states that “*any person, corporation, organization, or association desiring to solicit or receive contributions for charitable or public welfare purposes shall first secure a permit from Regional Offices of the Department. Upon filing of a written application for a permit in the form prescribed by the Department, the Regional Director or his/her duly authorized representative may in his/her discretion, issue a permanent or temporary permit or disapprove the application. In the interest of the public, he/she may in his/her discretion, renew or revoke any permit issued under Act 4075.*”

- 3.5. **Book III, Title II, Chapter 3, Art 1, Sec 444 (b) (3) (v) (*Powers and Functions of Municipal Mayor*) and Book III, Title II Ch 3 Art 1 Sec 455 (b) (3) (v) (*Powers and Functions of City Mayor*) of the Republic Act 7160 (*Local Government Code of 1991*)**—This allows municipal and city mayors to issue permits for holding of activities for any charitable or welfare purpose to be conducted within the fringe of the municipality or city, without the need of approval therefore from any national agency. These activities exclude prohibited games of chance or shows contrary to law, public policy, and public morals.
- 3.6. **Article I Section 2 of the Republic Act No. 7610 (*Special Protection of Children Against Child Abuse, Exploitation and Discrimination Act*)**—It states that it is a policy of the State to provide special protection to children from all forms of abuse, neglect, cruelty exploitation and discrimination and other conditions, prejudicial their development. It also provided sanctions for their commission and carry out a program for prevention and deterrence of and crisis intervention in situations of child abuse, exploitation and discrimination.
- 3.7. **Section 3 (e) of the Executive Order No. 15 series of 1998 (*Redirecting the Functions and Operations of the Department of Social Welfare and Development*)**—This mandate the DSWD to regulate fund drives, public solicitation and donations for charitable or welfare purposes, consistent with the provisions of the Administrative Code of 1987 and of the Local Government Code.
- 3.8. **Inter-Country Adoption Board Resolution No. 054-46 series of 2010 (*Addendum to the Policy on Photo listing of Children in the Internet*)** – It states that uploading of advertisement in the internet using Filipino children as means to solicit donation is prohibited.
- 3.9. **Administrative Order No. 170, series of 2002** –This issuance has mandated the DSWD to become one of the government offices directed to raise income and remit funds promptly to the National Treasury. It directed all bureaus, FOs and units of DSWD to charge fees for their goods and services which are not covered for free.

4.0. DEFINITION OF TERMS

The following terms are defined as used in this Guideline:

- 4.1. **Administrative Expenses** – the costs incurred to support in the management and operation on the conduct of the solicitation activity. This include application fee for a solicitation permit, cost of mailings, printing of letters of appeal, and other solicitation paraphernalia.
- 4.2. **Applicant** – any person, corporation, organization or association desiring or intending to conduct solicitation activities for public welfare and charitable purposes.
- 4.3. **Beneficiaries** – refer to Philippine citizens who are poor, vulnerable, marginalized and disadvantaged sectors or entities who will benefit from the proceeds of public solicitation conducted. These include:
 - 4.3.1. Children who are abandoned, neglected, orphaned, voluntarily committed, abused and exploited, street children, children with disabilities, children in conflict with the law, children in need of special protection, children in cultural communities, and children victims of natural disasters
 - 4.3.2. Out-of-school youth and other youth with special needs

- 4.3.3. Women in especially difficult circumstances
- 4.3.4. Persons with disabilities
- 4.3.5. Senior citizens
- 4.3.6. Individuals including those families and communities who are in crisis situation, internally displaced due to armed conflict and other developmental projects; victims of natural and human induced calamities/disasters, internally displaced due to armed conflict situation
- 4.3.7. Indigenous persons
- 4.3.8. Rebel returnees and families who are victims of armed conflict situation
- 4.3.9. Poor or dysfunctional families in depressed communities among others
- 4.4. **Blacklisting** – refers to the list or register of a person, corporation, organization or association who are being denied for non-issuance or non-renewal of authority to conduct fund drives.
- 4.5. **Charitable Purposes** – refers to the intent to provide services or conduct of activities for the improvement of the quality of life of beneficiaries as defined item 4.3. of this guidelines.
- 4.6. **Demean** – refers to any act that shall lower or degrade the dignity of the beneficiary.
- 4.7. **Department** – refers to the Department of Social Welfare and Development (DSWD)
- 4.8. **Government Agencies** - refers to National Government Agencies (NGAs), Government Owned and Controlled Corporations (GOCCs), State Universities/Colleges (SUCs) and other government agencies desiring to solicit donations or receive contributions for charitable or public welfare purposes.
- 4.9. **Individual** – refers to a person who is a parent, guardian or immediate relative of a patient suffering from chronic diseases that requires long term and/or expensive medication. He/she shall be certified by the Social Worker of the Local Social Welfare and Development Office of his/her locality to be eligible to seek further assistance in behalf of the patient.
- 4.10. **Regional Authority** – refers to a solicitation permit issued by the concerned DSWD-FO to the applicant when the area of solicitation activities covers within a region or more than one (1) city/municipality.
- 4.11. **Regional Fundraising Campaign** – refers to a solicitation activity conducted within a region or more than one (1) city/municipality.
- 4.12. **National Authority** – refers to a certificate of authority issued by DSWD-Central Office to the applicant when the area of solicitation activities covers more than one region
- 4.13. **National Fundraising Campaign** – refers to a solicitation activity conducted in more than one region
- 4.14. **Processing Fee** – refers to the corresponding fee as determined by the Department for processing of application and assessment purposes of the applicant
- 4.15. **Program Expenses** – refers to incurred to all direct or indirect provision of services to the intended beneficiaries' of the solicitation activity.
- 4.16. **Public** – refers to the populace, society, masses or people in general _within the Philippine archipelago where the solicitation is to be undertaken.
- 4.17. **Public Solicitation** – refers to any activity or project conducted in a particular region

or nationwide for a maximum of one year, intended to generate funds, or goods and assistance from the public for charitable or public welfare purposes

- 4.18. **Public Welfare Purposes** - refers to any activity or project relative to the promotion of health, education, peace, social welfare and protection, environmental safety, rights, morals, security and safety of citizens and similar circumstances or conditions including disaster relief operations and management
- 4.19. **Respondent** – refers to the agency being complained of.
- 4.20. **Revocation** – refers to the cancellation of the authority to conduct fund drives issued to a person, corporation, organization or association for the commission of any of the grounds as provided for in this guideline.
- 4.21. **Social Welfare and Development Agency (SWDA)** – refers to a person¹, 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.
- 4.22. **Soliciting** – refers to the act of requesting and/or receiving any money, material or other benefit/assistance from the public to be used for charitable or public welfare purposes
- 4.23. **Solicitation Permit** – refers to a certificate of authority issued by the DSWD to a person, corporation, organization or agency applying for an authorization to solicit donations or voluntary contributions for charitable or public welfare purposes
- 4.24. **Suspension** – refers to the temporary cessation of the authority to conduct fund drives issued to a person, corporation, organization or association not to exceed one (1) month as a form of penalty for violation of any of the grounds stipulated in this guideline. When under suspension, it shall not conduct any fund drives activities.
- 4.25. **Verified Complaint** – refers to a written complaint containing an oath or attestation of the truthfulness of the facts alleged therein in accordance to the affiant's personal knowledge and belief
- 4.26. **Voluntary Contribution** – refers to the act of giving any material or valuable item a person, corporation, organization or association for public welfare purposes
- 4.27. **Written Agreement** – refers to a notarized written document between parties who will work together on an agreed project in order to attain common objectives. It is also a legal document that is binding and holds the parties responsible to their commitment e.g. Memorandum of Agreement.

5.0. PRINCIPLES OF CONDUCT ON THE SOLICITATION ACTIVITIES

Any persons, corporations, organizations or associations issued a permit/authority to solicit for public welfare and/or charitable purposes shall strictly adhere to the following principles of conduct.

- 5.1. The best interest of beneficiaries shall be the priority and not the personal interest of the solicitor/s. Policies on this shall be in place and systematically implemented to prevent actual, potential or perceived conflict of interest.
- 5.2. Respect for the interest and intention of its donors, clients or patrons and the general public.

¹ Juridical person

- 5.3. Accountability for the solicitation of charitable and public funds. The efficient administration and effective use of funds shall be the responsibility of the endorsing office.
- 5.4. Manage the funds with the highest level of professionalism and integrity.
- 5.5. Ensure accuracy and truthfulness of solicitation and promotional materials by indicating its corporation, organization or association, its mission, and its intension for the solicited funds.
- 5.6. Engage only in fund drive campaigns that are not coercive, intimidating, or deceptive.
- 5.7. Respect for the integrity, privacy and pride of its clients or patrons specifically of using of non-use of clients' pictures or their case histories in any form of or medium of publicity or fundraising activities without prior written consent of the targeted beneficiary/ies and/or beneficiary's/ies' parents/guardians.
- 5.8. Obtain explicit consent from the DSWD before altering the intended use of the donations and ensure that contributions are only used in accordance with approved work and financial plan.
- 5.9. Adhere to the standard financial ratio in the utilization of funds which is eighty percent (80%) for program and twenty percent (20%) for administrative expenses; except for funds raised solely through voluntary contributions, where administrative expenses shall be limited to ten percent (10%) of the total collection.

6.0. **GENERAL POLICIES**

The following policies shall be observed relative to the regulation of fund drives or other forms of solicitation of contributions from the public:

6.1. **Coverage**

- 6.1.1. All regional and national fund campaigns conducted in the Philippines
- 6.1.2. Any applicant person, corporation, organization or association or any other juridical entity, including but not limited to National Government Agencies (NGAs), Government Owned and Controlled Corporations (GOCCs), state colleges/universities (SUC)s and other government agencies, non-government organizations, civic society organizations (CSOs) operating in the Philippines that are desiring to solicit or receive contributions from the public for charitable or public welfare purposes shall first secure an authority to solicit submit all requirements to the concerned DSWD Office.
- 6.1.3. The application of an individual soliciting funds for his/her child/ren and/or relative/s suffering from chronic diseases that requires long term and/or expensive medication such as cancer, renal failure, cardio vascular diseases and the like shall be coursed through a DSWD registered and licensed Social Welfare and Development Agency (SWDA) or the Crisis Intervention Unit of the DSWD or Local Government Unit (LGU). Likewise, individual solicitation shall be processed only as a regional fund campaign.
- 6.1.4. Foreign corporations operating in the Philippines as non-stock, non-profit corporations desiring to solicit or receive contributions from the public for charitable or public welfare purposes may be granted solicitation permit in the Philippines, provided there is an existing mutual or bilateral agreement between the country of origin and the Philippines.
- 6.1.5. The solicitation permit shall only be valid within the jurisdictional limits of the Philippine archipelago and shall not exceed to other countries even if the target

beneficiaries and donors are Filipinos.

6.2. *Exemption*

- 6.2.1. Organizations and agencies created by law that specifically confer authority on these organizations and agencies to solicit or conduct fund campaign for charitable or public welfare purposes.
- 6.2.2. Fundraising activities conducted by the Sangguniang Barangay for Barangay projects, in accordance with Section 391 of RA 7160.
- 6.2.3. Solicitation activity will be undertaken only in one city or municipality as per Book III Title II Chapter 3 of RA 7160. The city or municipal office may use this guideline as reference on the regulation of the fund raising activities at their level.
- 6.2.4. Caroling during Christmas season, as well as other forms of solicitation, intended for religious purposes (e.g. construction of church, mosque, or any structure for worship; propagation of religious faith or evangelization), do not require a DSWD permit. However, Local Government Units (LGUs) have the right to issue their own ordinances regarding the conduct of caroling and other solicitation drives intended for religious purposes.

6.3. *Prohibited Activities*

- 6.3.1. No applicant shall be allowed to engage in solicitation activities involving unlawful means, such as any games or schemes amounting to illegal gambling pursuant to Presidential Decree No. 1602 (*Prescribing Stiffer Penalties on Illegal Gambling*) as well as other related laws. Thus, a solicitation activity using raffles or prize-bearing tickets, ballots, and cards are also prohibited.
- 6.3.2. The solicitation paraphernalia shall not portray a demeaning condition of the intended beneficiary/ies in order to influence the public to provide donations.
- 6.3.3. No individual, group, or organization shall be allowed to publicize or identify him/her/them/itself as the beneficiary of a fundraising project using the name of another individual, group, organization, or institution unless a notarized written agreement signifying the intended beneficiary's/ies' concurrence as recipient of the fundraising activity has been issued. The amount or percentage from the proceeds to be given to the identified beneficiary/ies, as well as the date and place where the fundraising activity will be undertaken should also indicated in the written agreement
- 6.3.4. For-profit organizations intending to solicit for charitable and public welfare purposes shall not be allowed to apply for solicitation permit. If these organizations intend to help or assist in public welfare activities, funds to be donated shall come from their own profit/income as part of their corporate social responsibility. However, the welfare arm of for-profit corporations, organizations, or associations, if any, may apply for a solicitation permit but should first have a separate SEC registration as a non-profit and non-stock organization. Likewise, it shall also apply for DSWD registration and/or license to operate, if it operates within the realm of social welfare and development.
- 6.3.5. Persons or officers in-charge of the solicitation of donations and voluntary contribution shall have absolutely no share in the proceeds to be derived therefrom and the contributions or donations from whatever source are to be

acknowledged with receipts and expenditures supported by invoices or vouchers. The book of accounts shall at all times be kept at the principal business address of the person, corporation, organization or association concerned and open to the public.

- 6.3.6. The sale of goods from foreign donors that were donated to individuals, groups, organizations, or institutions and facilitated to be exempt from payment of government dues in accordance to Section 105 (I) of the Republic Act No. 1937 otherwise known as the Tariff and Customs Code of the Philippines (TCCP), and Presidential Memorandum Order (PMO) No. 36, series of 1992, is prohibited and should not constitute part of the activities conducted to raise funds for the target beneficiaries of the solicitation campaign.
- 6.3.7. Photo listing and the upload of information of beneficiaries in various media for the purpose of soliciting funds is strictly prohibited (*See Section 6.8—Photo Listing and Related Activities—for details*).

6.4. ***Fees and Charges***

The following fees shall be charged in accordance with DSWD Administrative Order No. 170 s. of 2002 (Fees for Services Rendered):

- 6.4.1. Php500 – for Regional fund drives
6.4.2. Php 1,000 – for National fund drives

6.5. ***Fund Proceeds and Allocations***

- 6.5.1. Administrative cost for the fundraising activity shall be not more than 20% of the total proceeds while the remaining 80% shall be utilized entirely for the projects/programs for the targeted beneficiaries. Except for funds raised solely through voluntary contributions, where administrative expenses shall be limited to 10% of the total collection.
- 6.5.2. Funds collected during the conduct of solicitation activities shall be deposited in a banking institution regulated by Bangko Sentral ng Pilipinas in the name of the person, corporation, organization or association to whom the permit was issued.
- 6.5.3. All donations received shall be properly acknowledged by the receiving agency except for solicitation modes involving the sales of tickets, cards or envelopes, in which case, the tickets, cards or envelopes sold may be used as an acknowledgement receipt.
- 6.5.4. While for the NGAs, GOCCs, state colleges/universities and other government agencies, the following additional policies shall be observed:
- 6.5.4.1. Proceeds from the fundraising activity “shall be accounted for in the book of account of the recipient agency in accordance with pertinent government accounting and auditing rules and regulations. Such donations, whether cash or in kind shall be utilized for the intended beneficiaries of solicitation or fundraising activities” (General Appropriation Act)
- 6.5.4.2. Such proceeds “shall be remitted to the National Treasury, recorded as a Special Account in the General Fund and shall be available to the implementing agency concerned through a Special Budget pursuant

to Section 35, Chapter 5 Book VI of EO 292: Provided, that donations for specific purpose with a term not exceeding one (1) year shall be treated as trust receipts in accordance with Section 7 hereof “ (General Appropriations Act)

- 6.5.5. If the beneficiary for individual solicitation passed away during the duration of solicitation permit, the endorsing Registered/Licensed/Accredited SWDAs or LGU shall submit an incident report to DSWD-FO. A request letter shall be filed immediately to DSWD FO attaching the corresponding approved Revised Work and Financial Plan on the disbursement of unutilized solicited funds.

6.6. ***Issuance of Permit***

6.6.1. *For Government Agencies*

- 6.6.1.1. Application of Government agency’s central office or attached agency shall be filed at the DSWD-Standards Bureau and authority to solicit shall be signed by the DSWD Secretary or his/her authorized representative
- 6.6.1.2. Application of Government agency’s regional offices shall be filed at the concerned DSWD FO and authority to solicit shall be signed by the concerned DSWD Regional Director or his/her authorized representative.

6.6.2. *For Non-Government Organizations/ Agencies and Individuals*

- 6.6.2.1. All applications for public solicitation shall be reviewed and assessed by the concerned DSWD FO. All applications that cover more than one region shall be endorsed to the Standards Bureau for evaluation of such application before approval of the DSWD Secretary or his/her authorized representative
- 6.6.2.2. National authority to conduct public solicitation shall be issued by the DSWD Secretary or his/her authorized representative while regional authority to conduct the same shall be issued by the concerned DSWD FO Director or his/her authorized representative.

6.6.3. *For Both Government Agencies, Non-Government Organizations/Agencies and Individuals*

- 6.6.3.1. The authority to solicit is non-transferable and specifies the period/duration of solicitation, methodology to be used and the area covered. Any change in the office address, period and duration of solicitation, methodologies being used and area of coverage, among others shall be immediately reported in writing to the concerned DSWD Office for assessment, evaluation and appropriate action.
- 6.6.3.2. In case of loss of the issued authority/permit, the person, corporation, organization or association to whom the permit was issued shall immediately submit a written report and affidavit of loss to the concerned DSWD Office where the application was filed. The latter shall assess the merit of the reasons stated for the loss and whether it warrants the issuance of a replacement.
- 6.6.3.3. All solicitation/fundraising paraphernalia e.g. coin bank, poster, tickets etc. shall bear the following (1) name of the person, corporation, organization or association to whom the permit issued, (2) DSWD authority number, (3) Coverage of the permit issued, and

(4) Date of permit issued and expiration date.

6.7. ***Information Dissemination***

- 6.7.1. The Standards Bureau and concerned DSWD FO shall periodically inform the public of the names of persons, corporations, organizations, or associations that were issued a solicitation permit through but not limited on the following: (1) print or broadcast media; whichever is appropriate (2) posting on bulletins in designated areas and the (3) DSWD website. Likewise, the public should also be informed of those whose permits have been cancelled, revoked and agencies/organizations that have been blacklisted, using any of the indicated information dissemination modes.
- 6.7.2. The Standards Bureau shall develop Information, Education and Communication (IEC) materials or close coordination with Social Marketing Service (SMS) (e.g. flyers, brochures, videos, etc.) to communicate various aspects of fund campaigns to the public. On the otherhand, the DSWD FO shall then translate it and develop into a localized IEC materials, if necessary.
- 6.7.3. The SMS and Regional Information Officer (RIO) shall assist the Standards Bureau and FO Standards Unit in the development of said IEC materials and conduct of other information dissemination activities.

6.8. ***Photo Listing and Related Activities***

- 6.8.1. Photo listing activities, the use of photos and images to provide information of target beneficiary/ies using print, electronic (cyber or internet) and broadcast media for the purpose of soliciting donation is strictly prohibited as (a) it violates a person's right to privacy and (b) it present social stigma and further suffering of concerned persons.
- 6.8.2. To enable the regulation of such strategy on solicitation, the following policies are provided:
- 6.8.2.1. The solicitation paraphernalia should protect the beneficiaries and shall not portray a demeaning condition of the intended beneficiary/ies in order to influence the public to provide donations.
- 6.8.2.2. If the need for actual pictures is required, the following are acceptable kind of shots:
- 6.8.2.2.1. Photo of child/children, senior citizen, person with disability or other beneficiaries taken on distance shot.
- 6.8.2.2.2. Close up photo of child/children, senior citizen, person with disability or other beneficiaries that depict action or focused on the action or movement taken close up without showing the subject's face. However, if the subject's face is necessary, a permission of the parents/guardians for the targeted beneficiaries shall be required.
- 6.8.3. Solicitation paraphernalia should highlight the agency's thrust, activities, and success stories rather than the personal lives of the beneficiaries.

6.9. ***Solicitation during State of Emergency/Calamity***

- 6.9.1. In times of natural or human-induced disasters and calamities, or when the beneficiaries of the public solicitation are living within clusters of communities, barangays, municipalities, cities, provinces, and regions declared by the President of the Philippines or Local Sanggunian under State of

Calamity, a temporary permit with validity not exceeding three (3) months may be issued by the DSWD Standards Bureau or concerned DSWD-FOs in those areas. Application for this purpose shall be applied within the period that the targeted recipient areas are declared under state of emergency or calamity.

- 6.9.2. Requirements in facilitating the issuance of permit shall be the same as those indicated in Section 7. However, in exigency of the service, the submission of requirements shall be limited to items 7.1.1 and 7.1.4 of this guideline as well as the notarized undertakings (DSWD-SB- PS-F-006).
- 6.9.3. Applicants shall observe the same procedures provided in Section 8 of these guidelines. However, applications may be filed directly to the Standards Bureau if the concerned DSWD-FO is also affected by the disaster or calamity. The Bureau and FO shall install a “Fast Lane” with a processing time of two (2) working days for this purpose.
- 6.9.4. Those with existing permit shall apply first an amendment of issued permit for the inclusion of solicitation during disaster, if necessary.

7.0. REQUIREMENTS

To facilitate the application for an authority/solicitation permit of any person/individual, organization, agency, or association, two (2) copies of the following documents shall be submitted to the concerned DSWD FO/Standards Bureau for assessment:

7.1. <i>General Requirements</i>	<i>Applicant</i>		
	<i>Government Agencies</i>	<i>Non-Government Organization/Associations</i>	<i>Persons</i>
7.1.1. Duly Accomplished Application Form (DSWD-SB- PS-F-001) signed by the Agency Head or his/her authorized representative	✓	✓	✓
7.1.2. Certified true copy of Certificate of Registration and Articles of Incorporation and by-laws with the SEC or other regulatory government agency which has jurisdiction to regulate the applicant, if new application		✓	✓ (Endorsing private organization/ agency)
7.1.3. Updated Certification of Good Standing, or Updated Certificate of Corporate Filing/Accomplished SEC General Information Sheet from any of the above-mentioned regulatory government agencies which has jurisdiction to regulate the applying organization or agency. This shall be required if the date of registration with the concerned regulatory government agency is more than five (5) years prior to application.		✓	✓ (Endorsing private organization/ agency)
7.1.4. Project proposal approved by the Head of Agency on the intended public solicitation activity including the work and financial plan on the activity to be undertaken. (DSWD-SB-PS-F-002).	✓	✓	✓
7.1.5. Profile of current governing board members or its equivalent in the corporation, certified by the corporate secretary or any equivalent	✓	✓	✓ (Endorsing private organization/)

7.1. <i>General Requirements</i>	<i>Applicant</i>		
	<i>Government Agencies</i>	<i>Non-Government Organization/Associations</i>	<i>Persons</i>
officer. (DSWD-SB- PS-F-003)			agency)
7.1.6. Notarized written agreement or any similar document signifying of the intended beneficiary/ies concurrence as recipient of the fundraising activities	✓	✓	✓
7.1.7. Approved and notarized board resolution or other written authorization for the solicitation activity which shall ensure strict compliance to the standard ratio of fund utilization (DSWD-SB- PS-F-004) or pledge of commitment (for individual) (DSWD-SB- PS-F-005).	✓	✓	
7.1.8. Endorsement or certification from any but not limited to the following agencies allowing the applicant to undertake solicitation in the agency's jurisdiction such as: 7.1.8.1. Director of Private Schools – if for private school projects 7.1.8.2. School Superintendent – if for public school projects 7.1.8.3. Department of Health – if for medical and health projects 7.1.8.4. Local Government Unit – if for provincial/city/municipal projects 7.1.8.5. Bishop/Parish Priest/Minister or Head of any Sect – if church or religious projects for public & charitable purposes. 7.1.11.6. Endorsement letter from DSWD registered and licensed SWDA or the Crisis Intervention Unit of the DSWD or LGU – if allows the individual applicant to raise funds under its name.	✓	✓	✓
7.1.9. Applicant's Social Case Study Report from his/her localities duly signed by the City/Municipal Social Welfare and Development Office (C/MSWDO).			✓
7.1.10. Treatment Protocol (Original/Certified True Copy by the attending physician with corresponding license number) or Medical Certificate/Abstract (Certified True Copy of the Hospital's Records Section			✓
7.1.11. Fund utilization report (DSWD-SB- PS-F-007) of its proceeds and expenditures duly certified by its auditor/book keeper, if the soliciting entity is a non-government organization or an	✓	✓	✓

7.1. <i>General Requirements</i>	<i>Applicant</i>		
	<i>Government Agencies</i>	<i>Non-Government Organization/Associations</i>	<i>Persons</i>
individual. The said fund utilization report should be included in the Audited Annual Financial Report to be submitted to the concerned DSWD office, copy-furnishing the Standards Bureau, 120 days after the end of every fiscal year as provided in the organization's Constitution and By-Laws			

Should the requesting organization is a SWDA with valid registration, license and accreditation, only items 7.1.1., 7.1.3. 7.1.4, 7.1.5., 7.1.6, 7.1.7., 7.1.11 and 7.2. as well as those indicated in item 7.2. shall be submitted to the concerned DSWD Office.

7.2. *Additional Specific Requirements for Each Methodology to be Used*

7.2.1. *Tickets, Ballots, Cards and Similar Forms*

- 7.2.1.1. Sample tickets, ballots or cards bearing the series numbers, price/amount to be given by the donor. It shall clearly indicate the cause supported by the donation, beneficiary of the proceeds, serial number of the permit issued by the DSWD, the duration of and area covered by the fundraising activity.
- 7.2.1.2. Total number of tickets, ballots, cards of similar forms to be used and corresponding series numbers to be issued as well as the expected value of all tickets, ballots, cards and similar forms sold. Additional tickets, ballots, cards or similar forms to be used shall need written request from the applicant and approval from the issuing DSWD Office.
- 7.2.1.3. List of authorized agents/units/partner agencies who will be directly involved in the distribution and collection of tickets, ballots, cards and similar forms certified by the Chairman/President of the Board.

7.2.2. *Donation boxes, Coin Banks and Other Similar Forms*

- 7.2.2.1. List of establishments/areas/places, contact persons and addresses where the coin banks will be located.
- 7.2.2.2. List of authorized agents/units/partner agencies who will be directly involved in the distribution and collections of coin banks.
- 7.2.2.3. Sample printed materials/labels to be pasted on the coin banks indicating that the amount given by the donor is a donation for a cause; beneficiary of the proceeds; the corresponding permit number, the area coverage of the solicitation and period covered by the permit.
- 7.2.2.4. Estimated total number of coin banks to be distributed and the corresponding serial numbers to be issued as well as the expected value of amounts to be solicited.
- 7.2.2.5. Written agreement or endorsement from the concerned agencies/establishments authorizing the applicants to use their facilities.
- 7.2.2.6. Tentative schedules of opening of the donation/coin banks to be witnessed by a DSWD representative/s.

7.2.3. ***Benefit Show such as Fashion Show, Concert and Similar Activities***

- 7.2.3.1. List of locations/places where the benefit shows shall be conducted.
- 7.2.3.2. Sample tickets bearing the series numbers and price of the tickets. It shall clearly indicate the cause supported by the donation, beneficiaries of the proceeds, the corresponding permit number issued by the DSWD, the period and area covered by the solicitation permit and the name of the organization or duly authorized persons conducting the solicitation activity.
- 7.2.3.3. Total number of tickets to be used and corresponding series numbers to be issued as well as expected value of all tickets sold.
- 7.2.3.4. Written agreement or endorsement from the concerned agencies/establishments authorizing the applicants to use their facilities.

7.2.4. ***Photo or Painting Exhibits and Similar Activities***

- 7.2.4.1. List of locations/places where the exhibits shall be conducted.
- 7.2.4.2. List of exhibitors and title of the exhibits to be conducted.
- 7.2.4.3. Sample paraphernalia/signs indicating the purpose of the activity, the name of the beneficiary, the corresponding permit number, the period and area covered by the solicitation permit and the name of the organization or duly authorized persons conducting the solicitation activity.
- 7.2.4.4. Expected value of amounts to be solicited.
- 7.2.4.5. Written agreement or endorsement from the concerned agencies/establishments authorizing the applicants to use their facilities.

7.2.5. ***Written Requests such as Envelopes, Letter of Appeal, Greeting Cards and Similar Forms***

- 7.2.5.1. Sample of letter of appeal, greeting cards or envelopes indicating that the amount to be solicited from the donor is for a cause, beneficiary of the proceeds, number of the permit issued by the DSWD and the duration of the fundraising activity.
- 7.2.5.2. Total number of letters of appeal, greeting cards or envelopes to be distributed and expected amount to be collected.
- 7.2.5.3. List of official signatories with corresponding signature specimen.
- 7.2.5.4. List of identified donors, if any.
- 7.2.5.5. List of authorized agents/units/partner agencies who will be directly involved in the distribution and collection of letter of appeal greeting cards certified by the Chairman/President of the Board.

7.2.6. ***Text Messages and Other Types of Solicitation Using Electronic Devices Such as E-mail***

- 7.2.6.1. List of telecommunication companies/corporations whose facilities/services will be used for solicitation.
- 7.2.6.2. Written agreement or endorsement from the telecommunications companies/corporations authorizing the applicants to use their facilities/services.

- 7.2.6.3. Sample text or e-mail message to be passed to telecommunication service provider indicating (1) the fact that the donation is made for a cause; (2) the beneficiary/ies of the proceeds; (3) the corresponding permit number, (4) the area coverage of the solicitation, and (5) the period covered by the permit.
- 7.2.6.4. Cost per text/email messages to be solicited from the public.
- 7.2.6.5. Expected total amount to be solicited through text/email messages.
- 7.2.7. ***Mass Media Campaign through Radio, Television, Cinema, Magazines, Newspapers, Billboards or Other Similar Forms***
 - 7.2.7.1. List of radio stations, television channels, cinemas, magazines, newspapers, billboards to be used for the conduct of the solicitation activity.
 - 7.2.7.2. Written agreement or endorsement from the concerned mass media companies authorizing the applicants to use their facilities.
 - 7.2.7.3. Sample paraphernalia/materials to be used in the mass media campaign indicating that the donation is for a cause; beneficiary of the proceeds; the corresponding permit number, the area coverage of the solicitation, the period covered by the permit.
 - 7.2.7.4. List of banks, address and account numbers where the funds are to be deposited by the public.
- 7.2.8. ***Sports Activities for a Cause such as Fun Run, Marathon, Cycling and Similar Activities***
 - 7.2.8.1. List of locations/places where the sports activities will be conducted.
 - 7.2.8.2. Sample registration form bearing the series numbers and amount of the registration fee. It shall clearly indicate the cause supported by the donation, beneficiaries of the proceeds, the corresponding permit number issued by the DSWD, the period and area covered by the solicitation permit and the name of the organization or duly authorized persons conducting the solicitation activity.
 - 7.2.8.3. Total number of registration forms to be used and corresponding series numbers to be issued as well as the expected amount to be collected.
 - 7.2.8.4. Written agreement or endorsement from the concerned individuals/agencies/ establishments authorizing the applicants to use their facilities.
- 7.2.9. ***Rummage Sale, Garage Sale, Sales of Goods and Other Similar Forms***
 - 7.2.9.1. List of locations/places where the rummage sales, garage sales or sales of goods shall be conducted.
 - 7.2.9.2. List of authorized agents/partner agencies who will be directly involved in the rummage/garage sale.
 - 7.2.9.3. Sample signs indicating the purpose of the activity, the name of the beneficiary, the corresponding permit number, the period and area covered by the solicitation permit and the name of the organization or duly authorized persons conducting the solicitation activity.
 - 7.2.9.4. Inventory with corresponding amounts of items to be sold.
 - 7.2.9.5. Written agreement or endorsement from the concerned individuals/agencies/ establishments authorizing the applicants to use their facilities.

8. PROCEDURES

- 8.1. Application letter with the application form and requirements shall be filed at the concerned DSWD Office (see Items 8.1.1 and 8.1.2). Two (2) copies should be filed if the application is for national fund raising campaign (1 copy for SB's and 1 for FO records). The applicant shall pay the required processing fee at the concerned DSWD Finance Service Unit which will then issue an official receipt.
- 8.1.1. DSWD Standards Bureau – if the applicant is a government agency's central office or attached agency.
- 8.1.2. Concerned DSWD FO
- 8.1.2.1. If applicant is a government agency's regional or FO.
- 8.1.2.2. If applicant is a DSWD-registered SWDA applying for regional or national fund campaign.
- 8.1.2.3. If applicant is any other non-profit organization or association applying for regional or national fund campaign.
- 8.1.2.4. If applicant is an individual.
- 8.2. Within five (5) working days upon the receipt of the application and documentary requirements, the designated staff of the Standards Bureau or concerned DSWD FO (if applicant falls under Item 8.1.1. or 8.1.2. respectively) shall assess the eligibility of the applicant and evaluate the validity of the documents submitted. Agency visitorial assessment may also be conducted, if necessary.
- 8.3. Accomplished application form together with the assessment report and recommendation of designated staff member, shall be forwarded to the Bureau Director (if the application falls under item 8.1.1.) / Regional Director (if application falls under 8.1.2.) or his/her authorized representative for approval or disapproval.
- 8.4. ***For Regional Fund Raising Campaign and Government Agency's Central Office/Attached Agency***
- 8.4.1. If approved***
- 8.4.1.1. The designated staff of Standards Bureau or FO shall issue the signed certificate to the applicant and provide orientation conforming to the standard operating procedures in the inventory, monitoring and utilization of solicited funds (DSWD-SB- PS-F-007).
- 8.4.1.2. Endorse a copy of the permit to the concerned agencies that have jurisdiction over the applicant's fund drive activities for their information and reference.
- 8.4.2.. If disapproved***
- 8.4.1.1. Five (5) working days after receipt of application, documents shall be returned to the applicant with a letter citing reasons for disapproval. The Standards Bureau or FO-Standards Unit shall then discuss with the applicant the reasons for the disapproval and provide necessary technical assistance to the latter to qualify for the issuance of the permit to conduct regional /national fundraising activity
- 8.5. ***For National Fund Campaign***
- 8.5.1. Should the assessment be favorable, the DSWD FO shall immediately forward the submitted documents by the qualified applicant with the assessment report and recommendation as well as copy of the issued official receipt of the

processing fee to the Standards Bureau. Should there be deficiencies in the submitted documents, the DSWD FO shall return the application to the applicant and provide necessary technical assistance to comply with the requirements.

8.5.2. Within five (5) working days upon receipt of the assessment report of the DSWD FO, the Standards Bureau shall conduct final review and evaluation before any appropriate action be made. It shall request the other DSWD-FOs covered by the fundraising activity to validate and assess the application, if necessary.

8.5.3. *If approved*

8.5.3.1. The accomplished assessment tool with corresponding recommendations together with the corresponding Certificate of Authority to Conduct National Fund Campaign shall be endorsed to the DSWD Secretary or his/her authorized representative for approval.

8.5.3.2. Signed permit shall be transmitted to the concerned DSWD FO for issuance to the applicant.

8.5.3.3. A copy of the permit is forwarded to the concerned agency and DSWD FO that have jurisdiction over the applicants' fund drive activities for their information and reference.

8.5.3.4. The FO shall provide an orientation on conforming to the standard operating procedures in the inventory, monitoring and utilization of solicited funds (DSWD-SB-PS-F-007).

8.5.4. *If disapproved*

Five (5) working days after receipt of application, documents shall be returned to the concerned DSWD FO with a transmittal letter citing specific reasons for the disapproval. The FO-Standards Unit shall then discuss the results of the application and provide necessary technical assistance to the applicant to qualify for the issuance of the permit to conduct national fund campaign.

9. VALIDITY OF THE PERMIT

9.1. The permit for both regional and national coverage shall only be valid in the approved date of coverage, and specific region/s/ area/s within the Philippines for a definite period.

9.2. A regional fund campaign should not exceed six (6) months. On the other hand, the permit to conduct a national fund campaign is valid for one (1) year.

9.3. Its validity shall not extend outside of the Philippines even if the target beneficiaries and donors are Filipinos.

9.4. The extension of authority to conduct solicitation activities may be allowed only for maximum of one (1) month upon approval of concerned DSWD Office which has issued the existing permit. Provided that the application for renewal of solicitation is filed prior its expiration.

10. POST-FACILITATION PROCESSES

10.1. At least one month before the expiry date of the permit, the person, corporation, organization or association to whom the solicitation permit was issued, shall inform

- the concerned DSWD Office on the schedule of inventory/accounting of solicited funds.
- 10.2. The inventory/accounting of solicited funds shall be witnessed by the Standards Unit. When the need arises, the conduct of the inventory/accounting could be augmented by the FO-Finance Unit staff as well as by the Standards Bureau and Finance Management Service. A report shall be submitted to the Standards Bureau on or before every 10th working day after the end of each quarter. The organization or association issued with permit shall request in writing the schedule of the inventory/accounting of collected funds to the concerned DSWD Office.
 - 10.3. The total solicited funds shall be utilized and distributed to the intended beneficiaries in accordance with the approved work and financial plan.
 - 10.4. Within sixty (60) days after the expiry date of permit, whether used or unused, the corporation, organization or association to whom the permit was issued shall submit the following to the DSWD-Central Office or the DSWD FO who issued the permit:
 - 10.4.1. Fund utilization report shall be in accordance with the National Government Auditing System, if the soliciting entity is a government agency.
 - 10.4.2. Notarized fund utilization report of its proceeds and expenditures sworn by the Agency Head and Treasurer, if the soliciting entity is a non-government organization or an individual. But said fund utilization report should be included in the Audited Annual Financial Report to be submitted to the concerned DSWD office, copy-furnishing the Standards Bureau, 120 days after the end of every fiscal year as provided in the organization's Constitution and By-Laws.
 - 10.4.3. List of donors and their corresponding addresses and contact numbers as well as amount of donation, if applicable.
 - 10.4.4. List of beneficiaries and their corresponding addresses and contact numbers and the amount or types of assistance extended.
 - 10.4.5. Expired original certificate authorizing the conduct of regional/national fund campaign
 - 10.4.6. A justification for not continuing the fund campaign activity within the validity period, if permit is unused,
 - 10.5. For individual, within sixty (60) days after the expiry date of the authority to conduct solicitation, whether consummated or not, the individual to whom the authority was issued shall surrender the authority together with the following reports:
 - 10.5.1. Notarized fund utilization report sworn by the Head of the DSWD registered and licensed SWDA or the Crisis Intervention Unit of the DSWD or LGU.
 - 10.5.2. List of donors and their corresponding addresses and contact numbers, if applicable.
 - 10.5.3. Expired original certificate authorizing the conduct of regional fund campaign.
 - 10.5.4. If permit is unused, a justification for not continuing the fund campaign activity within the validity period.
 - 10.6. If the solicited funds are not yet fully distributed or utilized, the person, corporation, organization or association to whom the permit was issued shall submit status report of the funds within the said sixty (60) days. A report shall be submitted monthly

thereafter until all the solicited funds are utilized within six (6) months. Thus, it shall submit the post reportorial requirement indicated in item 10.4.

- 10.7. For the interest of the public, the DSWD shall exercise its regulatory powers. The DSWD duly authorized representative shall have authority to access documents and premises to verify the authenticity of any report submitted to it by auditing the financial reports, by spot checking or by monitoring the activities of the concerned organization to including its book of accounts, paper, affairs and other activities related to the conduct of fund campaign. Thus, the DSWD FO where the application was filed or that endorsed it for approval shall monitor/visit the conduct of fundraising activities of the person, corporation, organization or association to whom the permit was issued to determine whether these are in accordance with the permit issued. A feedback report shall be submitted to the Standards Bureau within ten (10) working days after the monitoring visit. The latter shall then review and acknowledge the distribution and utilization report. Likewise, the Standards Bureau shall be responsible to monitor the permit issued to government agencies central office and attached agencies and may also assist the DSWD FO in the monitoring of agencies issued with national authority to conduct fund drives.
- 10.8. The organization or agency shall, for each solicitation activity, maintain and preserve an accurate and detailed book of accounts which shall be available for inspection at all times upon request of the DSWD.

11. HANDLING OF COMPLAINTS

- 11.1. A complaint against the person, corporation, organization or association must be in writing and is duly signed by the complainant. Any individual and/or duly authorized officer of the DSWD may file the complaint to the DSWD Office which endorsed the application or issued the solicitation permit.
- 11.2. The DSWD shall send letter to those person, corporation, organization or association soliciting without or with expired permit/authority to conduct fund raising calling their attention on their compliance with the PD 1564 and to this guidelines.
- 11.3. When deemed necessary, the DSWD shall file appropriate charges against those involved in illegal solicitation in accordance with the Rules of Court.
- 11.4. Further, complaints against local solicitation or solicitation within one (1) city/municipality shall be handled by respective Local Government Units.

12. HANDING OF VIOLATIONS

The DSWD shall cause and assist in the prosecution of any person violating PD 1564 or its implementing rules and regulations. The DSWD-Standards Bureau and/or concerned FO shall establish close coordination with the Philippine National Police (PNP) in the implementation of this guideline. The following shall be the role of DSWD in handling the offenders:

- 12.1. Disapprove any subsequent application for solicitation permit by those who, after their permit had been issued, did not comply with the requirements under this guideline.
- 12.2. Establish partnership with PNP and other law enforcement agencies for the implementation of this guideline.
- 12.3. File appropriate charges against those involved in illegal solicitation in accordance with the Rules of Court.

- 12.4. Keep a registry of updated monthly of blacklisted persons, corporations, organizations and/or associations. The registry should be provided to PNP in order to guide them in their law enforcement.

13. PENALTY CLAUSE

- 13.1 The following are grounds for Suspension, Revocation, Non-Renewal of the solicitation permit/authority to conduct fund drives and Blacklist from the issuance/non-renewal of permit:

Grounds	Penalty
13.1.1. Failure to adhere to the conditions stipulated in the solicitation permit e.g. soliciting beyond the allowable area of coverage or violating the mode of solicitation as indicated in the approved permit	Suspension
13.1.2. Non-compliance with the requirements provided under this guideline	Suspension
13.1.3. Non-submission of the post facilitation reports.	Suspension
13.1.4. Printing of tickets and other paraphernalia for solicitation activity more than the declared number without approval from the Department.	Suspension
13.1.5. Including the beneficiaries as part of the strategy or mechanism in conducting the solicitation activity which tends to exploit the beneficiaries	Revocation
13.1.6. Falsification of submitted documents	Revocation
13.1.7. Failure to provide measures to remedy the cause of suspension despite of two (2) notices	Revocation and Non-renewal
13.1.8. Failure to apply for DSWD registration or license to operate, if social welfare and development agency	Non-renewal
13.1.9. Any violation of the provision of PD 1564, other relevant laws applicable or their implementing rules/regulations	Revocation and Blacklisting
13.1.10. A verified complaint by an aggrieved party arising from damages or injury directly attributable to the execution of the activity for which the permit was issued	Revocation and Blacklisting
13.1.11. Soliciting with an expired permit	Blacklisting
13.1.12. Soliciting without securing permit despite of one (1) notice	Blacklisting

First offense of items 13.1.1. to 13.1.4 shall merit the penalty of suspension. Commission of second offense shall merit the penalty of revocation and/or blacklisting/non-renewal.

- 13.2. Any person found violating the provision of PD 1564 or this guideline, upon conviction, shall be subjected for imprisonment and/or a fine at the discretion of the Court. Provided, however, that if the offended party is a corporation, organization, or association, the penalty shall be imposed upon the guilty officer/s and if such guilty officer/s is an/are alien/s, he/she/they shall be deported after serving sentence without further proceedings.

- 13.3. In cases, organization, association or individual is not covered under these provisions, other applicable laws should apply.

14. INSTITUTIONAL ARRANGEMENT

14.1. Central Office

14.1.1. Standards Bureau (SB)

- a. Assess and evaluate application for national fund drives
- b. Install a fast lane mechanism to assess and process solicitation during calamities at a maximum of two (2) working days.
- c. Monitor and provide technical assistance to DSWD FOs and those organizations issued with authority to conduct public solicitation
- d. Assist FOs in the conduct of inventory/accounting of solicited funds, if needed
- e. Maintain and update database of issued with national fund campaign
- f. Consolidate and maintain database of issued with national and regional fund campaign
- g. Establish partnership and conduct of periodical orientation of the guidelines to PNP or other law enforcement agencies.
- h. Develop standard IEC materials in coordination with Social Marketing Service for wider information dissemination of the guidelines and for reference of the FOs such as but not limited to Frequently Asked Questions (FAQ), advisory, audio video orientation materials, etc.

14.1.2. Finance Management Service

- a. Assist in the conduct of inventory/accounting of solicited funds, if needed

14.1.3. Information and Communication Technology Management System (ICTMS)

- a. Provide technical assistance to SB and FOs on the use of information and communication technology to improve administration and service delivery
- b. In coordination with Social Marketing Service, post to DSWD website the list of issued national and regional solicitation permit.

14.1.4. Legal Service

Provide legal opinions, advice and services to Standards Bureau and FOs regarding issues and concerns on public solicitation

14.1.5. Social Marketing Service

- a. Provide technical assistance to SB and FOs in the media relations, advocacy, social marketing and networking activities
- b. In coordination with the ICTMS, post to DSWD website the list of issued national and regional solicitation permit.

14.2. Field Offices

- 14.2.1. Assess and evaluate application and issued permit to public solicitation within the region
- 14.2.2. Install a fast lane mechanism to assess and process solicitation during calamities at a maximum of two (2) working days.
- 14.2.3. Conduct pre-assessment of application for national fund drives and endorse to SB those qualified applicant
- 14.2.4. Establish partnership and conduct of periodical orientation of the guidelines to PNP or other law enforcement agencies
- 14.2.5. Conduct inventory/accounting of solicited funds
- 14.2.6. Monitor and provide technical assistance to organizations issued with solicitation permit
- 14.2.7. Maintain and update database of issued with regional fund campaign

15. REPEALING CLAUSE

Administrative Order No 14 series of 2007 (Revised Omnibus Rules and Regulations on Public Solicitations) and Administrative Order No. 18 series of 2010 and all other issuances inconsistent with the provisions of this Order are hereby revoked.

16. SEPARABILITY CLAUSE

In the event that any provision of this guideline is held invalid or unconstitutional, the other provisions not affected thereby shall remain valid and subsisting.

17. EFFECTIVITY

This Administrative Order shall take effect immediately.

Issued this 8th of August, 2014 at Quezon City, Philippines.


CORAZON JULIANO-SOLIMAN
Secretary

- DSWD-SB- PS-F-001: Application Form
- DSWD-SB- PS-F-002: Project Proposal
- DSWD-SB- PS-F-003: Profile of Governing Board
- DSWD-SB- PS-F-004: Board Resolution
- DSWD-SB- PS-F-005: Pledge of Commitment
- DSWD-SB- PS-F-006: Undertaking during State of Emergency/Calamity
- DSWD-SB- PS-F-007: Fund Utilization Report
- DSWD-SB- PS-F-008: Assessment Form
- DSWD-SB- PS-F-009: Conformance Letter
- DSWD-SB- PS-F-010: Authority Certificate
- DSWD-SB- PS-F-011: Process Flow NFC
- DSWD-SB- PS-F-012: Process Flow RFC
- DSWD-SB- PS-F-013: Process Flow GAFC
- DSWD-SB- PS-F-014: Process Flow on State of Calamity

Certified Copy:


8.12.14
MYRNA H. REYES
Officer In-Charge
Records Unit

Republic of the Philippines
Department of Social Welfare and Development

**APPLICATION FOR AUTHORITY
TO CONDUCT FUND CAMPAIGN**

Date: _____

Status of Application:

- New Application
- Renewal (pls. indicate previous issued permit No. and Date) _____

Type of Applicant:

- Government Agency
 - Central Office
 - Attached Agency
 - Regional Office
- NGO/CSO/Faith-based organization
- Person
- GOCC
- State Universities/Colleges

Scope/Coverage:

- National
- Regional (more than 1 city/municipality)

I. Identifying Information

- | | |
|---|--|
| <p>1. Name of Person/Corporation/Organization/ Association

_____</p> <p>3. Agency Head
_____</p> <p>5. Telephone/Cell phone/Fax Numbers
_____</p> <p>7. Registration/Permit No:
7.1. SEC/CDA (or other applicable Government Registration) No:

7.2. DSWD Registration/License No.
_____</p> | <p>2. Business Address:

_____</p> <p>4. Position Title/Designation
_____</p> <p>6. E-mail Address
_____</p> <p>8. Date of Issuance of Registration/Permit
8.1 SEC/CDA (or other applicable Government Registration) Issued

8.2. DSWD Registration/License Issued
_____</p> |
|---|--|

II. Project Proposal (Please attached accomplished DSWD-SB- PS-F-002: Project Proposal)

I hereby certify that the information on this application form is true and complete.

(Signature Over Printed Name of the Agency Head or Authorized Representative)

Note: Please use additional sheet/s, if necessary.

PROJECT PROPOSAL

_____ Title of the Proposal for the Solicitation Activity:

I. Background and Justification

II. Objectives

III. Project Description

<i>Title of the Activity and Description</i>	<i>Purposes</i>	<i>Methodologies to be Used for Solicitation Activity</i>	<i>Brief Description of the Methodologies/ Activities to be conducted</i>	<i>Target Date/ Duration</i>	<i>Area Coverage of Solicitation Activities</i>	<i>Projected Amount to be Raised</i>	<i>Target Beneficiaries of the Solicited Funds</i>	
							<i>Number and Type</i>	<i>Target Areas</i>

IV. **Special Account No. and Depository Bank:** _____

V. **Work and Financial Plan of the Solicited Funds**

<i>Activities</i>	<i>Resources Needed/Amount</i>	<i>Responsible Persons</i>	<i>Time Frame</i>
A. Program Concerns (The 80% of the total funds to be generated which allocated for the expenses incurred in the direct or indirect provision of services to the beneficiary including implementation of relevant programs and services)			
Sub-Total			
B. Administrative Concerns (The 20% of the total funds to be generated which allocated for the cost incurred to support the management and operation of the conduct of the solicitation activity. This include application fee for a solicitation permit, cost of mailings, printing of letters of appeal, and others)			
Sub-Total			
Grand Total			

VI. **Project Monitoring and Evaluation** (State briefly the procedure and mechanism of monitoring and evaluation)

Prepared by: _____ _____
 (Signature over Printed Name & Position Title/Designation) Date

Approved by Agency Head: _____ _____
 (Signature over Printed Name & Position Title/Designation) Date

Republic of the Philippines
 Department of Social Welfare and Development

PROFILE OF THE GOVERNING BOARD

_____ Name of Agency

<i>Name of Member</i>	<i>Position/Title</i>	<i>Business Address and Contact Numbers</i>	<i>Home Address and Contact Numbers</i>	<i>Email Address</i>	<i>Nationality</i> (if foreign, pls. indicate BID clearance/working visa number and validity period)

Attested by:

_____ Chairman of the Board

_____ Date

Certified true and correct:

_____ Secretary of the Board

_____ Date

Noted by:

_____ Head of the Agency

_____ Date

Note: Please use additional sheet/s, if necessary.

BOARD RESOLUTION

WHEREAS, _____
(Name of Corporation/Organization/Association)

resolve to raise funds for the _____
(State objectives/purposes)

RESOLVED, as it is hereby resolved, that each and every one of the Officers pledge to assume full responsibility for all contributions and funds received. That we will limit the administrative expenses incident in the holding of the fund drive to no more than twenty percent (20%) of the gross income and/or the balance of eighty percent (80%) to be appropriated for the said project. In case funds are raised solely through voluntary contributions, administrative expenses shall be limited to ten percent (10%) of the total collection.

RESOLVED, that no person involved in the fund raising shall get any share from the proceeds to be derived therefrom and that only lawful means shall be employed during the fund drive.

RESOLVED finally, to authorize _____ as the sole
(Name of Authorized Representative/s)
representative of the organization to represent in the filling-up of necessary application with the
DSWD _____
(Standards Bureau/Field Office and Address)

IN VIEW OF THE ABOVE, the following persons are the only authorized agents who will be involved in the conduct the solicitation/fund drive.

<i>Name of Authorized Solicitors/Agents/ Partner Agencies</i>	<i>Business Address</i>	<i>Email Address</i>	<i>Contact Numbers</i>	<i>Nationality</i> (if foreign, pls. indicate BID clearance/working visa number and date)

UNANIMOUSLY APPROVED:

<i>GOVERNING BOARD OFFICERS/MEMBERS</i>		<i>Position</i>	<i>Nationality</i> (if foreign, pls. indicate BID clearance/working visa number and date)	<i>Residential Address</i>	<i>Email Address</i>	<i>Contact Numbers</i>
<i>Full Name</i>	<i>Signature</i>					

Approved by:

Chairman/President of the Board

Certified Correct

Corporate Secretary

SUBSCRIBE AND SWORN to before me the undersigned Notary Public for and in _____, this
_____ day of _____ at _____ by _____ with
Community Tax Certificate no. _____ issued at _____ on _____

NOTARY PUBLIC

DSWD-SB- PS-F-005: Pledge of Commitment

PLEDGE OF COMMITMENT

I/We _____ of legal age, with postal address at _____, that for and in consideration of my/our application to solicit or receive contributions for public welfare purposes pursuant to the provisions of the Solicitation Permit Law (PD 1564) hereby commit the following:

THAT I/We shall assume full responsibility for all contributions and funds received and shall limit the administrative expenses incident in the holding of the fund drive to no more than twenty percent (20%) of the gross income and the balance of eighty percent (80%) will be appropriated for the said project. In case funds are raised solely through voluntary contributions, administrative expenses shall be limited to ten percent (10%) of the total collection;

THAT no person involved in the fund raising shall get any share from the proceeds to be derived therefrom and that only lawful means shall be employed during the fund drive.

IN VIEW OF THE ABOVE, the following persons are the only authorized agents who will be involved in the conduct the solicitation/fund drive.

<i>Name of Authorized Solicitors/Agents/ Partner Agencies</i>	<i>Business Address</i>	<i>Email Address</i>	<i>Contact Numbers</i>	<i>Nationality</i> (if foreign, pls. indicate BID clearance/working visa number and date)

Certified Correct

(Signature Over Printed Name of the Agency Head or Authorized Representative)

Date

SUBSCRIBE AND SWORN to before me the undersigned Notary Public for and in _____, this _____ day of _____ at _____ by _____ with Community Tax Certificate no. _____ issued at _____ on _____.

NOTARY PUBLIC

UNDERTAKING TO COMPLY WITH THE REQUIREMENTS ON PUBLIC SOLICITATION PERMIT

I/We _____ (name/s) _____, _____ (designation) _____ of _____ (Name of Corporation/Organization/Association) _____ with _____ postal _____ address _____ at _____.

that for and in consideration of my/our application to solicit or receive contributions for public welfare purposes during state of emergency/calamity, hereby undertake to comply with the following Department of Social Welfare and Development (DSWD) requirements to wit:

- a.
- b. } (indicate the list of requirements for submission as per DSWD guidelines on public
- c. } solicitation)
- d.
- e.

THAT I/We shall submit said requirements to (indicate specific DSWD Office e.g Standards Bureau or Field Office _____) on (indicate date).

THAT non-submission of the listed requirements on or before the specified dates, would be grounds for non-approval of my/our succeeding application for authority to conduct fund raising activities.

Certified Correct

(Signature Over Printed Name of the Agency Head or Authorized Representative) _____ Date _____

SUBSCRIBE AND SWORN to before me the undersigned Notary Public for and in _____, this _____ day of _____ at _____ by _____ with Community Tax Certificate no. _____ issued at _____ on _____.

NOTARY PUBLIC

6. Expenditures: (pls. use separate sheet if necessary)

Total Amount Solicited Funds: Php

Particulars	Amount	%
A. Program Concerns (The 80% of the total funds to be generated which allocated for the expenses incurred in the direct or indirect provision of services to the beneficiary including implementation of relevant programs and services)		
<i>Sub-Total</i>		
B. Administrative Concerns (The 20% of the total funds to be generated which allocated for the cost incurred to support the management and operation of the conduct of the solicitation activity. This include application fee for a solicitation permit, cost of mailings, printing of letters of appeal, and others)		
<i>Sub-Total</i>		
Grand Total		

Balances of Solicited Funds Php

Prepared and Certified Correct by:

 (Signature over Printed Name of the Treasurer
 & Position Title/Designation)

 Date

Approved by:

 (Signature over Printed Name & Position Title/Designation of the Agency Head)

 Date

SUBSCRIBE AND SWORN to before me the undersigned Notary Public for and in _____, this _____ day of _____ at _____ by _____ with Community Tax Certificate no. _____ issued at _____ on _____.

NOTARY PUBLIC

Republic of the Philippines
Department of Social Welfare and Development

**ASSESSMENT FORM FOR THE
APPLICATION FOR AUTHORITY TO CONDUCT FUND CAMPAIGN**

Date Request SB/FO Received: _____

I. Identifying Information:

1. Name of Person/Corporation/Organization/ Association : _____

2. Business Address: _____

3. Contact Number/s and e-mail Address: _____

4. Name of Agency Head and Position/Designation: _____

5. Status of Application:

- New Application
 Renewal (pls. indicate previous issued permit No. and Date) _____

6. Type of Applicant:

- Government Agency
 Central Office
 Attached Agency
 Regional Office
 NGO/CSO/Faith-based organization
 Person
- GOCC
 State Universities/Colleges

7. Scope/Coverage:

- National
 Regional (more than 1 city/municipality)

8. **Documentary Requirements:** (Please put check as appropriate and indicate findings/observations)

Requirements	Available		Findings/Observations
	Yes	No	
a. Duly Accomplished Application Form <u>signed by the Agency Head or his/her authorized representative (DSWD-SB- PS-F-001)</u>			
b. Certified true copy of Certificate of Registration and Articles of Incorporation and by-laws with the SEC or other regulatory government agency which has jurisdiction to regulate the applicant, <u>if new application</u>			
c. <u>Updated Certification of Good Standing, or Updated Certificate of Corporate Filing/Accomplished SEC General Information Sheet from any of the above-mentioned regulatory government agencies which has jurisdiction to regulate the applying organization or agency. This shall be required if the date of registration with the concerned regulatory government agency is more than five (5) years prior to application..</u>			

<i>Requirements</i>	<i>Available</i>		<i>Findings/Observations</i>
	<i>Yes</i>	<i>No</i>	
d. <u>Project proposal approved by the Head of Agency on the intended public solicitation activity including the work And financial plan on the activity to be undertaken. (DSWD-SB- PS-F-002).</u>			
e. List and profile of current governing board members or its equivalent in the corporation, certified by the corporate secretary or any equivalent officer. (DSWD-SB- PS-F-003)			
f. Profile of current governing board members or its equivalent in the corporation, certified by the corporate secretary or any equivalent officer. (DSWD-SB- PS-F-003)			
g. Notarized written agreement or any similar document signifying of the intended beneficiary/ies concurrence as recipient of the fundraising activities.			
h. Approved and notarized board resolution or other written authorization for the solicitation activity which shall ensure strict compliance to the standard ratio of fund utilization (DSWD-SB- PS-F-004) or pledge of commitment (for individual) (DSWD-SB- PS-F-005).			
i. <u>Endorsement or certification from any but not limited to the following agencies allowing the applicant to undertake solicitation in the agency's jurisdiction such as:</u> <u>i.1. Director of Private Schools – if for private school projects</u> <u>i.2. School Superintendent – if for public school projects</u> <u>i.3. Department of Health – if for medical and health projects</u> <u>i.4. Local Government Unit – if for provincial/city/municipal projects</u> <u>i.5. Bishop/Parish Priest/Minister or Head of any Sect – if church or religious projects for public & charitable purposes.</u>			
k. Endorsement letter from DSWD registered and licensed SWDA or the Crisis Intervention Unit of the DSWD or LGU – if allows the individual applicant to raise funds under its name.			
l. Applicant's Social Case Study Report from his/her localities duly signed by the City/Municipal Social Welfare and Development Office (C/MSWDO).			
m. <u>Treatment Protocol (Original/Certified True Copy by the attending physician with corresponding license number) or Medical Certificate/Abstract (Certified True Copy of the Hospital's Records Section</u>			

Requirements	Available		Findings/Observations
	Yes	No	
n. <u>Fund utilization report (DSWD-SB- PS-F-006) of its proceeds and expenditures duly certified by its auditor/book keeper, if the soliciting entity is a non-government organization or an individual. The said fund utilization report should be included in the Audited Annual Financial Report to be submitted to the concerned DSWD office, copy-furnishing the Standards Bureau, 120 days after the end of every fiscal year as provided in the organization's Constitution and By-Laws</u>			
o. Additional Specific Requirements for Each Methodology to be Used			
o.1. <i>Tickets, Ballots, Cards and Similar Forms</i>			
o.2. <i>Donation boxes, Coin Banks and Other Similar Forms</i>			
o.3. <i>Benefit Show such as Fashion Show, Concert and Similar Activities</i>			
o.4. <i>Photo or Painting Exhibits and Similar Activities</i>			
o.5. <i>Written of request such as envelopes, Letter of Appeal, Greeting Cards and Similar Forms</i>			
o.6. <i>Text Messages and Other Types of Solicitation Using Electronic Devices Such as E-mail</i>			
o.7. <i>Mass Media Campaign through Radio, Television, Cinema, Magazines, Newspapers, Billboards or Other Similar Forms</i>			
o.8. <i>Sports Activities for a Cause such as Fun Run, Marathon, Cycling and Similar Activities</i>			
o.9. <i>Rummage Sale, Garage Sale, Sales of Goods and Other Similar Forms</i>			
p. <u>Copy of issued DSWD Official Receipt for the payment of processing fee (indicate OR No. and Date Issued)</u>			

II. Summary of Findings/Assessment: (Use separate sheet as needed)

III. Recommendations:

For Issuance:

Based on the above findings, _____
(Name of Person/Corporation/Organization/ Association)

_____ is for issuance of an authority to conduct fund
campaign for a period of _____

(duration of fund raising activity)

in _____ for the following purpose/s
(areas of coverage)

❖ _____
❖ _____

Solicitation shall be done through the following methodologies:

❖ _____
❖ _____

For Non-Issuance/Held in Abeyance

In order to facilitate the issuance of an authority to conduct fund campaign, the

(Name of Person/Corporation/Organization/ Association)

shall comply the following within _____ days/months:

❖ _____
❖ _____

For DSWD Field Office:

Reviewed/Assessed by:

(Signature over Printed Name of DSWD Staff & Designation and Office)

Date

Endorsed/Approved by:

(Signature and Printed Name of DSWD-Field Director/Authorized Representative)

Date

For DSWD Central Office:

Reviewed/Assessed by:

(Signature over Printed Name of DSWD Staff & Position Title/Designation)

Date

Endorsed/Approved by:

(Signature and Printed Name of Standards Bureau Director)

Date

Concurred by:

(Signature and Printed Name of the Head of Institutional Development Group/
Authorized Representative)

Date

Note: Please use additional sheet/s, if necessary.

CONFORME LETTER

Dear _____:

We wish to inform you that we have favorably approved your application for local/national fund drive campaign with authority number _____ and valid from _____ to _____ based on the following standards operating procedures:

1. That all the standard conditions and requirements set by the Department are met;
2. That authority is granted to DSWD to access documents and premises to verify that the conditions of this permit are being met
3. The authority to solicit is non-transferable and can only be used on the approved period/duration, methodology to be used and within the area covered by the application. Any changes in the current office address, methodologies being used and area of coverage, among others shall be immediately reported in writing to the concerned DSWD Office who issued the permit otherwise they will be apprehended by the law enforcers. To avoid such, the necessary requirements shall be submitted to the concerned DSWD-Field Office for assessment, evaluation and appropriate action.
4. That at least one month before the expiry date of permit, the concerned DSWD Office shall be informed on the schedule of inventory/accounting of solicited funds. The latter shall witness the inventory and accounting of collected funds (applicable to donation box, coin banks and similar modes)
5. The total solicited funds shall be utilized and distributed to the intended beneficiaries in accordance with the approved work and financial plan.
6. Within sixty days after the expiry date of permit, the following shall be submitted to the concerned DSWD-Field Office:
 - ✓ Fund utilization report shall be in accordance with the National Government Auditing System, if government agency
 - ✓ For non-government organization/agency or individual, notarized fund utilization report of its proceeds and expenditures sworn by the Agency Head and Treasurer. But said fund utilization report should be included in its Audited Annual Financial Report which shall be submitted to the concerned DSWD Field Office copy furnish Standards Bureau one-hundred twenty (120) days after the end of every fiscal year as provided in its Constitutions and by-Laws.
 - ✓ List of donors and their corresponding addresses and contact numbers and amount of donations, if applicable
 - ✓ List of beneficiaries and the amount or types of assistance extended and their corresponding addresses and contact numbers.
 - ✓ Expired original certificate authorizing the conduct of regional/national fund campaign
 - ✓ A justification for not continuing the fund campaign activity within the validity period, if permit is unused.
7. If the solicited funds are not yet fully distributed or utilized, a status report of the funds shall be submitted to concerned DSWD-Field Office within the said sixty days and monthly thereafter until all the solicited funds are utilized, as the case may be. Then, it shall submit the post reportorial requirements as indicated in item 6 of this conforme.
8. That the distribution shall be in close coordination with the concerned DSWD Field Office and the latter shall monitor the conduct of fund-raising activities to determine whether these are in accordance with the permit issued.
9. For renewal of permit, the applying individual/corporation/organization/association shall file an application and shall go through the usual procedures stated in the DSWD Administrative Order.

We look forward to your compliance with the above to maximize the use of solicited donations.

Very truly yours,

Standards Bureau/Field Office Director

Conforme:



Republic of the Philippines
DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT

Central/Field Office _____
(CO/FO Address _____)

AUTHORITY TO CONDUCT FUND CAMPAIGN
(Non-Transferable)

The Department of Social Welfare and Development (DSWD) authorizes **(Person/Corporation/Organization/Association)** with principal office **(Office Address Person/Corporation/Organization/Association)** to conduct fund raising campaign for a period of **(maximum duration of fund raising activity) in (approved area/s of coverage)**. The purpose of fund raising activity includes **(purposes)**

Solicitation shall be done through **(methodologies to be used)**

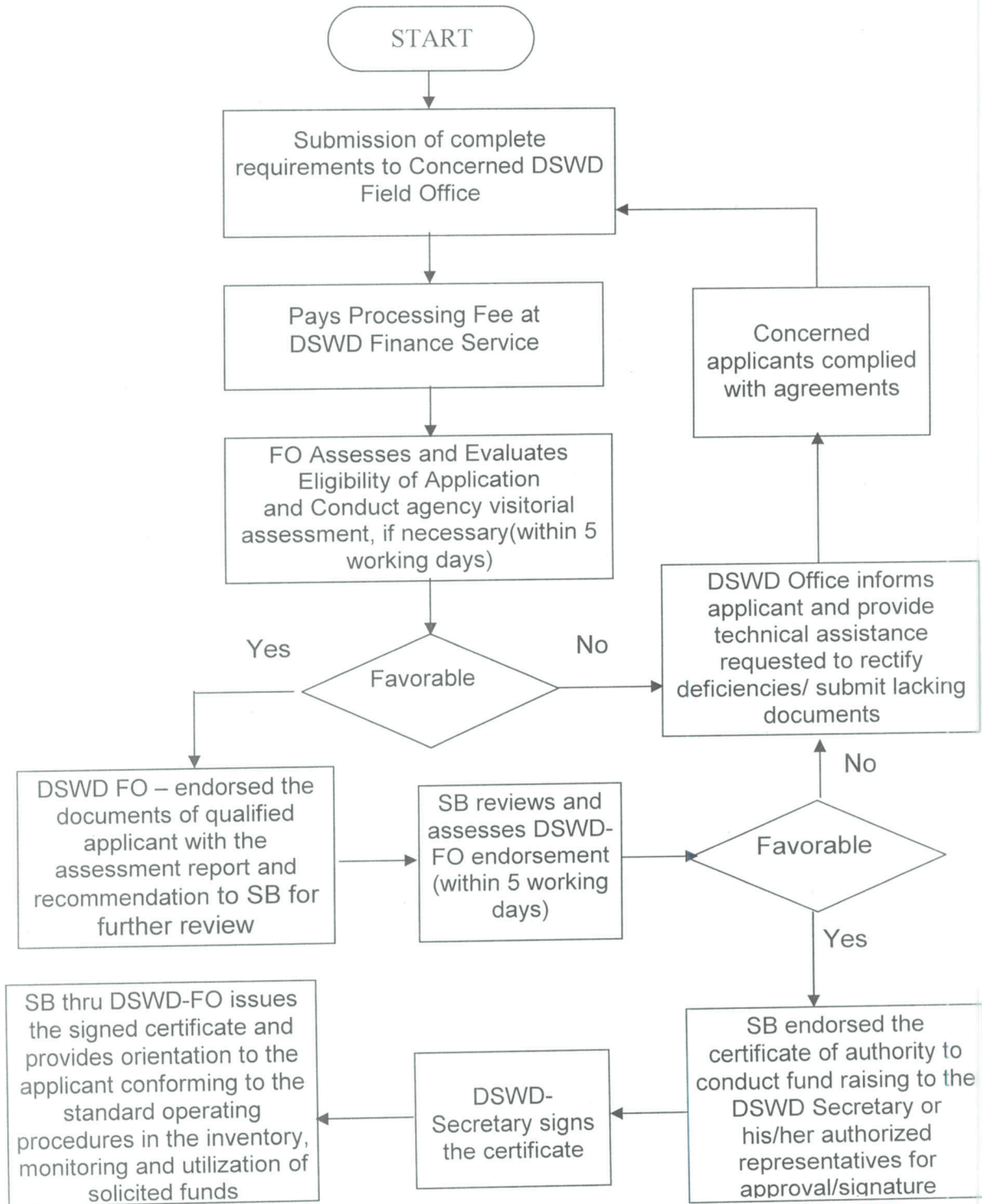
This authorization takes effect on **(date issued)** and expires on **(date of expiration)**. This authority/solicitation permit is valid only in the **Philippines.**

(Signature Over Printed Name of the DSWD Secretary/Field Office Director)

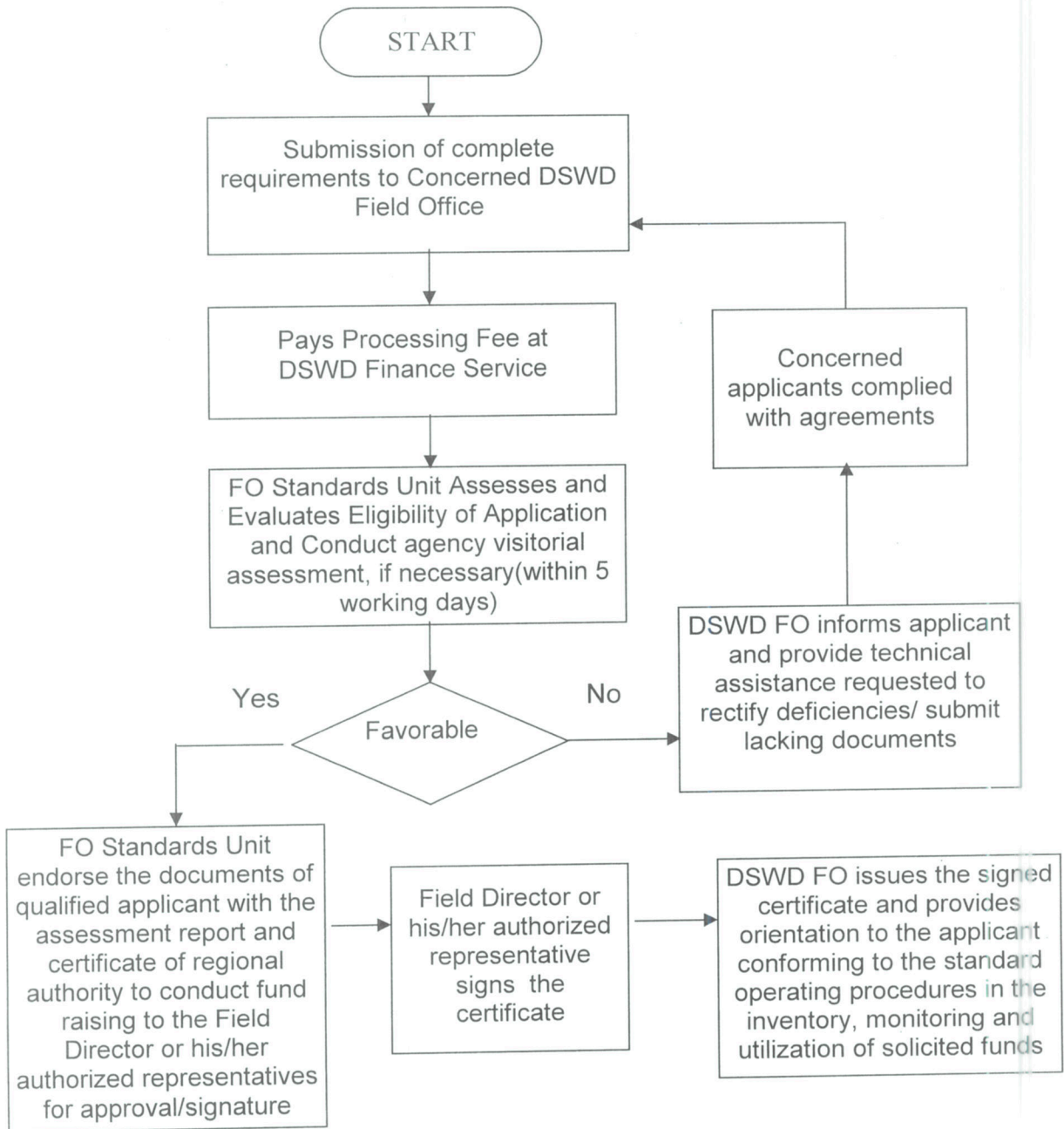
DSWD Authority/Solicitation Permit No.: **(DSWD-SB/FO-SP-00001-2014)**

For verification on the validity of the permit issued, please contact DSWD Standards Bureau/Field Office _____ at Telephone numbers _____

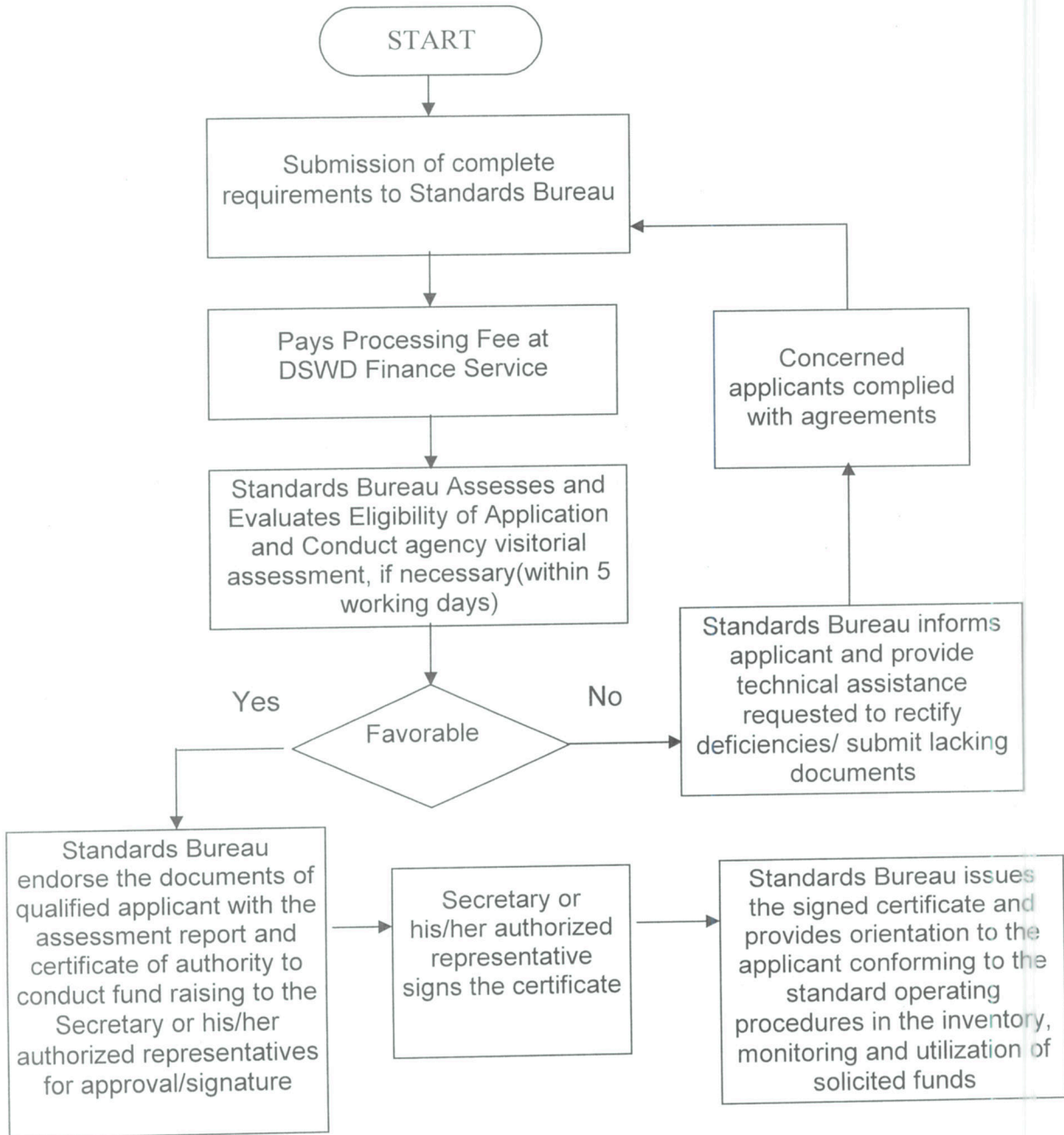
National Fund Campaign



Regional Fund Campaign



Fund Campaign of Government Agency's Central Office and Attached Agency



Fund Campaign during State of Calamity

