

## LICENSING OF PRIVATE SOCIAL WELFARE AND DEVELOPMENT AGENCIES (SWDAS) – OPERATING IN ONE REGION

*3The process of assessing the qualifications and authorizing a registered SWDA to operate as a Social Work Agency or as an Auxiliary SWDA operating in one region.*

<b>Office or Division:</b>	DSWD Field Office – Standards Section		
<b>Classification:</b>	Highly Technical		
<b>Type of Transaction:</b>	Government to Client (G2C)		
<b>Who may avail:</b>	ALL Private SWDAs Intending to Operate in One Region		
CHECKLIST OF REQUIREMENTS		WHERE TO SECURE	
1. One (1) Duly Accomplished and Notarized Application Form		Any DSWD Field Office - Standards Section (Regions I, II, III, IV-A, V, VI, VII, VIII, IX, X, XI, XII, CAR, Caraga, MIMAROPA & NCR)  • <a href="https://www.dswd.gov.ph/downloads-2/Annex%202.DSWD-RLA-F002%20Application%20Form%20for%20Licensing">https://www.dswd.gov.ph/downloads-2/Annex 2. DSWD-RLA-F002 Application Form for Licensing</a>	
2. One (1) set of the following Basic Documents: a. A certification of plan to hire the required Registered Social Worker (RSW) or staff complement; or (b) Profile of Employees and volunteers whichever is applicable b. Manual of Operation containing the SWDAs program and administrative policies, procedures and strategies to attain its purpose/s among others c. Profile of Board of Trustees d. Certified True Copy of General Information Sheet issued by SEC (One (1) copy)		• <a href="https://www.dswd.gov.ph/downloads-2/Annex%2022.DSWD-RLA-F022%20Profile%20of%20Employees">https://www.dswd.gov.ph/downloads-2/Annex 22. DSWD-RLA-F022 Profile of Employees</a>  • <a href="https://www.dswd.gov.ph/downloads-2/Annex%204.DSWD-RLA-F004%20Manual%20of%20Operation">https://www.dswd.gov.ph/downloads-2/Annex 4. DSWD-RLA-F004 Manual of Operation</a>  • <a href="https://www.dswd.gov.ph/downloads-2/Annex%2021.DSWD-RLA-F021%20Profile%20of%20Governing%20Board">https://www.dswd.gov.ph/downloads-2/Annex 21. DSWD-RLA-F021 Profile of Governing Board</a>  • <b>Securities Exchange Commission (SEC) -</b> Company Registration and Monitoring Department Secretariat Building, PICC Complex, Roxas Boulevard, Pasay City, 1307  • <b>Any SEC Extension Office</b> (Baguio City, Tarlac City, Legazpi City, Cebu City, Iloilo	

<p>e. Notarized certification from the Board of Trustees and/or the funding agency to financially support the organizations to operate for at least two (2) years</p> <p>f. Work and Financial Plan for the two (2) succeeding years</p>	<p>City, Cagayan De Oro City, Davao City, Zamboanga City)</p> <ul style="list-style-type: none"> <li>Board resolution by the Organization</li> <li><a href="https://www.dswd.gov.ph/downloads-2/Annex%209.%20DSWD-RLA-F009%20Work%20and%20Financial%20Plan">https://www.dswd.gov.ph/downloads-2/Annex 9. DSWD-RLA-F009 Work and Financial Plan</a></li> </ul>
<p><b>3. ADDITIONAL REQUIREMENTS</b></p> <p>a. Certified True Copy of the notarized written agreement of partnership or cooperation between the agency and its partner agency e.g. MOA, Contract of Partnership, among others</p> <p>b. <b>For Applicant SWA's implementing Child Placement Services</b> Certification from DSWD or photocopy of the certificate of training attended by the hired RSW related to child placement service.</p> <p>c. <b>Documents Establishing Corporate Existence and Regulatory Compliance</b></p> <p>1. For Center Based (<i>Residential and Non-Residential Based</i>) Copy of the valid safety certificates namely:</p> <p>a. Occupancy permit (only for new buildings) or Annual Building Inspection/Structural Safety Certificate (for old buildings)</p> <p>b. Fire Safety Inspection Certificate</p>	<p>Photocopy of the Memorandum of Agreement/Contract of Partnership and Certified by the Head of Applicant Organization</p> <p><a href="https://www.dswd.gov.ph/downloads-2/Annex%2022.%20DSWD-RLA-F022%20Profile%20of%20Employees">https://www.dswd.gov.ph/downloads-2/Annex 22. DSWD-RLA-F022 Profile of Employees</a></p> <p>City/Municipal Engineering Office of Local Government Unit covering the SWDAs area of operation or Private Engineer</p> <p>Office of the Bureau of Fire Protection in the City/Municipal Local Government Unit covering the SWDAs area of operation</p>

<p>c. Water Potability Certificate or Sanitary Permit</p> <p>2. For applicant serving within the Ancestral Domains of Indigenous People (IP) – Photocopy of NGO Accreditation from NCIP.</p> <p>3. For applicant with past and current partnership with the DSWD that involved transfer of funds</p> <p>a. Certification from DSWD Office and/or other concerned government agencies that the applicant is free from any financial liability/obligation</p>	<p>City/Municipal Health Office of Local Government Unit covering the SWDAs area of operation or Private Service Provider</p> <p>National Commission of Indigenous People (NCIP) Regional Office where the NGO operates.</p> <p>DSWD Field Office – Financial and Management Service</p> <p>Government Agency where the Organization implemented or implements projects and programs.</p>
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**Note to Applicant:** The acceptance of application documents does not imply that the application is already approved. The applicant must satisfy the assessment indicators for Licensing based on DSWD Memorandum Circular No. 17 Series of 2018.



CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<b>A. Assessment Procedures for Walk-in Applicants</b>				
<b>STEP 1:</b> Secure application form thru the DSWD Website/ Standards Section – Field Office	Provides client application form, and checklist of requirements	None	*10 minutes	<b>Jolibee B. Dagani, AA III- Standards Section</b>  <b>Vanissa S. Sumampong, Admin Aide I- Standards Section-Field Office Caraga</b>
<b>STEP 2:</b>	1.1 Receive the	None	*20 minutes	<b>Jolibee B. Dagani, AA III- Standards Section</b>
1.1 Submit/ file and application supporting documents.	documentary requirements and provide the applicant			Support Staff in charge of
1.2 For applicant organization with complete requirements, shall have acknowledgement receipt of the	organization with an application reference number for easy tracking and reference.  1.2 Determine whether the submitted			(Standards Section- Field Office Caraga  Officer of the day (Standards
submitted requirements.	documents are complete.			Section- Field Office)
1.3 For incomplete requirements, the applicant organization shall sign the acknowledgement of the returned documents and the checklist of the lacking requirements.	1.3 If complete, provide the organization an acknowledgement receipt and log the receipt of application documents into the Document Tracking System (DTS) for Standards Section – Field Office.  1.4 If incomplete, return all documents submitted accompanied by a checklist of requirements for applicant Organization's compliance.			

<b>STEP 3:</b> If Complete, Settle the required processing fee.	Prepare Billing Statement and instruct applicant to proceed to the Cash Section of DSWD Field Office	None	*20 minutes	<b>Jolibee B. Dagani, AA III- Standards Section</b>  (Standards Section- Field Office Caraga)
	Process payment and issues Official Receipt.	₱1,000.00	*15 minutes	<b>Maria. Genette Marban</b> (Cashier Section-FO)
<b>STEP 4:</b> Provide the Acknowledge the		None	*15 Minutes	<b>Jolibee B. Dagani, AA III- Standards Section Staff</b>
DSWD Standards Section the photocopy of the Official Receipt (OR).	photocopy of the Official Receipt from the applicant Organization.			(Standards Section- Field Office Caraga)
<b>Step 5:</b> Accomplish and drop the Customer's Feedback Form on the dropbox.	Provide the applicant the Organization the Customer's Feedback Form	None	*5 minutes	<b>Jolibee B. Dagani, AA III- Standards Section</b>  <b>DSWD Field Office Caraga</b>

**Note:** Applications received after 3:00pm shall be considered as a next working day transaction.

<b>STEP 6:</b> Wait for the result of the documents review and notice of validation assessment.	<p>1.1 Review the submitted documents as to completeness and compliance, both in form and substance. The submitted complete documents must satisfy the following Criteria:</p> <p>i. In case a new applicant SWDA applying to operate a residential care facility, the applicant must establish the need for a residential facility serving a particular sector and the absence of related facility to cater them. e.g. Situationer.</p> <p>ii. Applicant has employed a sufficient number of duly qualified staff and/or registered social worker to supervise and take charge of its social welfare and development activities and/or social work interventions in</p>	None	2 working days	<b>Emelyn L. Mintal</b> <b>SWO II</b>  (Standards Section- Field Office-Caraga)
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	<p>accordance with the set standards.</p> <p>iii. Applicant must submit a duly certified financial statement that at least seventy percent (70%) of its funds are disbursed for direct social work services while thirty percent (30%) of the funds are disbursed for administrative services.</p> <p>iv. The SWDA must have a financial capacity to operate for at least two (2) years.</p> <p>v. Applicant keeps record of all social development and/or welfare activities it implements.</p> <p><b>Note: Criteria iv and vi are only applicable for those SWDAs that are already in operation prior to application for License to Operate.</b></p> <p>1.2.1 <b>If complete and compliant,</b> an Acknowledgment Letter and Notification on the proposed schedule on the</p>			
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CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	conduct of Validation Visit shall be prepared.  1.2.2 If found incomplete or non-compliant, the Acknowledgement Letter prepared shall contain the checklist of requirements to be secured and complied. This will be sent to the applicant SWDA together with all the application documents submitted.			
	1.3 Review and approval of the Acknowledgement Letter including its attachments.	None	2 working days	<b>Archie D. Turtur, PDO III</b> Section Head  <b>Aldie Mae A. Andoy, SWO IV</b> OIC-PPD Division Chief  <b>Mari-Flor A. Dollaga Libang</b> Regional Director
<b>STEP 7:</b> Confirm the Availability on the proposed Validation Visit	For those with requirements that are complete and compliant, Confirmation of Validation Visit.	None	*30 minutes	<b>Emelyn L. Mintal, SWO II</b>  <b>Nikki A. Alfante, SWO I</b> (Standards Section- Field Office Caraga)
<b>STEP 8:</b> Assist the Assessor during the conduct of Validation visit.	Conduct of Validation visit	None	1 working day per agreed schedule	<b>Emelyn L. Mintal, SWO II</b>  <b>Nikki A. Alfante, SWO I</b> Technical Staff (Standards Section- Field Office Caraga)

				<b>Emelyn L. Mintal, SWO II</b>  <b>Nikki A. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)
<b>Step 9:</b> Accomplish and place the Customer's Feedback Form on a sealed envelope.	Provide the applicant the Organization the Customer's Feedback Form	None	*5 minutes	
<b>STEP 10:</b> Awaits the result of the licensing assessment	1.1 Prepare Confirmation Report  1.2.1 If favorable, the Technical Staff shall draft Confirmation Report and Draft Certificate of License to Operate.  1.2.2 If not favorable, the Technical Staff shall detail the Assessors Findings and the agreed compliance date of the Action Plan.  1.3.1 If favorable, review and approval of the Confirmation Report and the Draft Certificate of License to Operate.  1.3.2 If unfavorable, review and approval of the Confirmation Report.	None	3 working days	<b>Emelyn L. Mintal, SWO II</b>  <b>Nikki A. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)
				<b>Archie D. Turtur, PDO III</b> Section Head/Division Chief (Standards Section- Field Office Caraga)
			Favorable; 8 working days	
			Unfavorable; 7 working days	
				<b>Mari-Flor A. Dollaga-Libang</b> Regional Director (Standards Section- Field Office Caraga)
			Favorable; 3 working days	
			Unfavorable; 2 working days	<b>Jolibee A. Dagani, AA III</b> Support Staff (Standards Section- Field Office)



CLIENT STEPS		AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
<b>STEP</b> Acknowledge the receipt of the Certificate of License to Operate.	<b>11:</b> the	Send the Confirmation Report and notify the availability of the Certificate of License to Operate for release through various means per preference indicated in the application form. (direct pick-up or courier)	None	1 working day (depending on the choice of the applicant)	<b>Jolibee A. Dagani, AA III</b> Support Staff (Standards Section- Field Office)
	<b>TOTAL</b>				
		For Complete and Compliant:	₱1,000.00	20 working days	
		For Incomplete Submission:	None	17 working days	
<b>B. Processing Procedures of Applications submitted at Standards Bureau through Mail/Courier:</b>					
<b>STEP 1:</b> Send the Log receipt into the Application Form Document Tracking together with the System (DTS) for prescribed documentary requirements for Licensing through Mail or Courier to:		Send the Log receipt into the Application Form Document Tracking System (DTS) for prescribed Standards Section – Field Office. This shall be route for to the Assigned Technical Staff.	None	*15 minutes	<b>Jolibee A. Dagani, AA III</b> Support Staff in charge of incoming documents  (Standards Section- Field Office)
<b>Standards Section of concerned DSWD Field Office</b>					
<b>STEP 2:</b> Wait for the result of documents review.		1.1 Review the submitted documents as to completeness and compliance, both in form and substance. The submitted complete documents must satisfy the following Criteria:  i. In case a new applicant SWDA applying to operate	None	2 working day	<b>Emelyn L. Mintal, SWO II</b> <b>Nikki C. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<p>residential care facility, the applicant must establish the need for a residential facility serving a particular sector and the absence of related facility to cater them. (e.g. Situationer)</p> <p>ii. Applicant has employed a sufficient number of duly qualified staff and/or registered social workers to supervise and take charge of its social welfare and development activities and/or social work interventions in accordance with the set standards.</p> <p>iii. Applicant must submit a duly certified financial statement that at least seventy percent (70%) of its funds are disbursed for direct social work services while thirty percent (30%) of the funds are disbursed for administrative services.</p>			

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<p>iv. The SWDA must have a financial capacity to operate for at least two (2) years.</p> <p>v. Applicant keeps record of all social development and/or welfare activities it implements.</p> <p><b>Note: Criteria iv and vi are only applicable for those SWDAs that are already in operation prior to application for License to Operate.</b></p> <p><b>1.2 If complete and compliant,</b> an Acknowledgment Letter and Notification on the proposed schedule on the conduct of Validation Visit shall be prepared.</p> <p><b>1.3 If found incomplete or non-compliant,</b> the Acknowledgement Letter prepared shall contain the checklist of requirements to be secured and complied. This will be sent to the applicant SWDA together with all the application documents submitted.</p>			
<b>STEP 3:</b> Settle the required processing fee.	<b>If found both complete and compliant,</b> notify the Applicant Organization	₱1,000.*15 minutes 00		<b>Emelyn L. Mintal,</b> SWO II <b>Nikki C. Alfante,</b> SWO I Technical Staff and Support Staff (Standards



CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
	<p>that they have to settle their processing fee.</p> <ul style="list-style-type: none"> <li>Inform the applicant organization that the processing of the application shall start once they have paid the required fees and provided the Standards Section the copy of the Official Receipt.</li> </ul> <p><b>Field Office:</b> The Support Staff shall prepare Billing Statement and instructs applicant to proceed to Field Office Cashier Section.</p> <p><b>Note: The processes shall only take place once the applicant organization settle its payment.</b></p>			Section- Field Office)
<p><b>STEP 4:</b> Provide the DSWD Standards Section the copy of the Official Receipt (OR) through the following:</p> <p>2. Scanned copy of the Official Receipt to the concerned DSWD Field Offices' official email address with the subject: <b>Name of the Organization_ Copy of OR for Licensing.</b></p>	<p>1.1 Acknowledge the copy of Official Receipt from the SWDA.</p> <p>1.2 For the Copy of OR sent through email: the Support Staff managing the Official email of the Standards Section shall acknowledged its receipt.</p>	None	*15 Minutes	Jolibee D. Dagani, AA III Support Staff in charge of incoming documents (Standards Section- Field Office Caraga)

CLIENT STEPS	AGENCY ACTIONS	FEE TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
3. Hand-carry the Photocopy of Official Receipt  4. Courier the Photocopy of Official Receipt	1.3. For the Copy of OR sent through mail/courier: the assigned technical Staff shall acknowledge its receipt.			
<b>Step 5:</b> Accomplish and drop the Customer's Feedback Form on the dropbox.	Provide the applicant the Organization the Customer's Feedback Form	None	*5 minutes	<b>Jolibee D. Dagani, AA III</b>  Support Staff (Standards Section- Field Office)
<b>Note:</b> Applications received after 3:00pm shall be considered as a next working day transaction.				
<b>STEP 6:</b> Wait for the notice of validation assessment.	Review and approval of the Acknowledgement Letter including its attachments.  For those with requirements that are complete and compliant, Confirmation of Validation Visit.	None	3 working days	<b>Archie D. Turtur, PDO III</b> Section Head  <b>Aldie Mae A. Andoy, SWO IV</b> Division Chief  (Standards Section- Field Office Caraga)
<b>STEP 7:</b> Confirm the Availability on the proposed Validation Visit	For those with requirements that are complete and compliant, Confirmation of Validation Visit	None	1 working day	<b>Emelyn L. Mintal, SWO II</b>  <b>Nikki C. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)

				Caraga)
<b>STEP 8:</b> Assist the Assessor during the conduct of Validation visit.	Conduct of Validation visit	None	1 working day per agreed schedule	<b>Emelyn L. Mintal, SWO II</b> <b>Nikki C. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)
<b>Step 9:</b> Accomplish and place the Customer's Feedback Form on a sealed envelope.	Provide the applicant the Organization the Customer's Feedback Form	None	*5 minutes	<b>Emelyn L. Mintal, SWO II</b> <b>Nikki C. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office)
<b>STEP 10:</b> Wait for the result of the Validation visit.	1.Prepare Confirmation Report	None	3 working days	<b>Emelyn L. Mintal, SWO II</b> <b>Nikki C. Alfante, SWO I</b>  Technical Staff (Standards Section- Field Office Caraga)
	1.2.1 If favorable, the Technical Staff shall draft Confirmation Report and Draft Certificate of License to Operate.  1.2.2 If not favorable, the Technical Staff shall detail the Assessors Findings and the agreed compliance date of the Action Plan.			
	1.3.1 If favorable, review and approval of the Confirmation Report and the Draft Certificate of License to Operate.  1.3.2 If unfavorable, review and approval of the Confirmation Report.	None	Favorable;  8 working days  Unfavorable;  7 working days	<b>Archie D. Turtur, PDO III</b> Section Head  <b>Aldie Mae A. Andoy, SWO IV</b> Division Chief  (Standards Section- Field Office Caraga)
	1.4.1 If favorable, for		Favorable;	<b>Mari-Flor A. Dollaga</b> Regional



	approval and signature of the Certificate of License to Operate.  1.4.2 If unfavorable, the Support Staff shall send the Confirmation Report to the SWDA through email and via courier.		3 working days  Unfavorable; 1 working days	Director (Standards Section- Field Office- Caraga)  <b>Jolibee D. Dagani, AA III</b> Support Staff (Standards Section- Field Office)
<b>STEP 11:</b> Wait on the release of the	Send the Confirmation Report and notify the	None	1 working day	<b>Jolibee D. Dagani, AA III</b> Support Staff (Standards

CLIENT STEPS	AGENCY ACTIONS	FEES TO BE PAID	PROCESSING TIME	PERSON RESPONSIBLE
Certificate of License to Operate.	availability of the Certificate of License to Operate for release through various means per preference indicated in the application form. (direct pick-up or courier)		(depending on the choice of the applicant)	Section- Field Office)
<b>TOTAL</b>				
For Complete and Compliant:		₱1,000.00	20 working days	
For Incomplete Submission:		None	17 working days	

*\*The number of minutes shall be included on the total working days*  
*\*\* This does not include the travel time of documents from the DSWD Field Office to the Central Office, and vice versa.*

FEEDBACK AND COMPLAINTS MECHANISM	
How to send feedback	<ul style="list-style-type: none"> <li>Concerned citizen/concerned agencies send letter/email to the concerned Field Office (FO)</li> <li>DSWD - Field Office send memo/email to Standards Bureau</li> </ul>
How feedbacks are processed	<ul style="list-style-type: none"> <li>FO send reply to the concerned citizen/ agencies within three (3) days upon receipt of the feedback</li> <li>Standards Bureau shall send reply letter/memo to the concerned Field Office/concerned citizen within three (3) days upon receipt of the feedback</li> </ul>
How to file a complaint	Complaints can be filed thru sending a letter or email to concerned DSWD FO or SB. The name of person being complained and the circumstances of the complaint should be included in the information.
How complaints are processed	<ul style="list-style-type: none"> <li>The concerned Office will conduct a case conference/meeting to discuss the issue/concern. If necessary, to set a meeting with the complainant and discuss the concern.</li> <li>Internal investigation shall be conducted, then provide recommendation and officially send reply letter/memo to the concerned citizen/agencies/FO.</li> </ul>
	<ul style="list-style-type: none"> <li>The timelines on the processing of complaints/grievance shall be according to the DSWD Grievance Mechanism Guidelines.</li> </ul>
Contact information of: ARTA, PCC, CCB	<p><b>Anti-Red Tape Authority (ARTA)</b> <a href="mailto:complaints@arta.gov.ph">complaints@arta.gov.ph</a> 8-478-5093</p> <p><b>Presidential Complaint Center (PCC)</b> <a href="mailto:pcc@malacanang.gov.ph">pcc@malacanang.gov.ph</a> 8888</p> <p><b>Contact Center ng Bayan (CCB)</b> <a href="mailto:email@contactcenterngbayan.gov.ph">email@contactcenterngbayan.gov.ph</a> <b>before CSC (Civil Service Commission)- 0908-881-6565</b></p>