



ANNEX K.

ASSESSMENT FORM FOR REGISTRATION AND LICENSING OF APPLICANT SWDA

TO BE FILLED UP BY DSWD

Date of Receipt of Application (mm/dd/yy): _____ Time of Receipt of Application: _____
 Date of Release of Certificate (mm/dd/yy): _____ Time of Release of Certificate: _____
 Tracking No.: _____ SWDA CRLTO No: _____

Type of Application: (Please check the appropriate box)

- ☐ New
☐ Renewal
 ☐ 3-validity
 ☐ Perpetual validity

Organizational Status

- ☐ Planning to Engage
☐ Already Engaged
 Specify no. years: _____

Scope/Coverage:

- ☐ More than one region
 Specify regions: _____
☐ Within one region
- ☐ Registration and Licensing of Social Work Agency (SWA)
 - ☐ Residential-Based
 - ☐ Center-Based
 - ☐ Community-Based
 - ☐ Child Placing Agency
 - ☐ Others
- ☐ Registration and Licensing of Auxiliary SWDA
 - ☐ People's Organization
 - ☐ Resource Agency
 - ☐ SWD Network

I. Identifying Information:

Name of Applicant SWDA (as stated on the SEC Registration)		
Other Name (e.g., acronym, short name, previous name, etc., if applicable)		
Business Address (based on the submitted application form):	No. and Street/ Subdivision:	
	Barangay	
	City/Municipality	
	Province	

	Zip Code	
Head of Applicant SWDA	Name	
	Position/Designation	
Contact details	Landline No.	
	Mobile No.	
	Social Media Account	
	E-mail address	
	Website	
Principal Registration (Juridical Personality)	Agency (<i>as stated on SEC Certificate</i>)	
	Registration No.	
	Date Registered	
Barangay Certificate	Place Issued	
	Issued No.	
	Date Issued:	
	Validity Period:	

II. Registration and Licensing Criteria and Assessment

In assessing the application of the organization for registration and licensing, the applicant should have the potential to comply with the following requirements prior to issuance of a certificate of registration and license to operate (CRLTO):

1. That the applicant must be engaged mainly or generally in social welfare and development (SWD) activities;
2. That the 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;
3. That the applicant must show in a duly certified financial statement that at least seventy percent (70%) of its funds are disbursed for direct social welfare and development programs and services while 30% of the funds are disbursed for administrative services;
4. That the SWDA must have a financial capacity to operate for at least two (2) years; and

5. That the applicant keeps a record of all social development and/or welfare activities it implements.

III. Notes/Fill-up Instructions for the DSWD Staff:

- The findings and observations column must be well and fully accomplished to establish compliance with the set requirements and criteria.
- Accomplishment of the tool through handwriting is accepted as long as it is legibly written and readable.
- The assessor may print the specific table attached in this form that will be used for assessment depending on the type of applicant:

Table A. For Applicants Planning to Engage

Table B. For Applicants engaged prior its application

Table C. For Renewal of CRLTO and Accreditation (as applicable)

Table D. Additional Requirements if applying for perpetual validity of CRLTO

IV. Other Salient Findings/Observations *(to be filled up by the DSWD assessor)*

V. Recommendations: (Please check the appropriate box and fill up the requested information below:

A. For Issuance:

Based on the above findings, _____ **(Name of Applicant Agency)** _____ is ready for issuance of certificate of registration and license to operate (CRLTO) as a/an:

- | | |
|---|--|
| ☐ Social Work Agency (SWA) | ☐ Auxiliary SWDA |
| ☐ Residential-Based Agency | ☐ People's Organization |
| ☐ Center-based Agency | ☐ Resource Agency |
| ☐ Community-based Agency | ☐ SWD Network |
| ☐ Child Placing Agency | |
| ☐ Others | |

B. If Non-Compliant:

Based on the above findings, the agency was not able to meet the following minimum standards set by the Department, specifically: (specify the indicator where they failed)

- 1.
- 2.
- 3.

Hence, (Name of Applicant Agency) will be given thirty (30) calendar days to comply with the unmet requirements and re-apply without needing to pay the ₱2,000.00 processing fee. Re-application beyond the said period shall require the payment of the processing fee.

Assessed by:

<i>(Name and Signature of DSWD Technical Staff or Authorized Intermediary)</i>	<i>(Office)</i>
<i>(Designation)</i>	<i>(Date)</i>

Concurred by:

<i>(Signature and Printed Name of the SWDA Head or authorized representative)</i>	<i>(Date)</i>
<i>(Designation)</i>	

Endorsed by:

<i>(Signature and Printed Name of the assigned Standards Bureau Division Chief)</i>	<i>(Date)</i>
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Approved by:

<i>(Signature and Printed Name of the Standards Bureau Director)</i>	<i>(Date)</i>
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TABLE A.
FOR APPLICANTS PLANNING TO ENGAGE

Requirements	Compliant?		Findings/Observations
	Yes	No	
A. Legal Entity			
1. There is a submitted copy of Certificate of Incorporation with the Securities and Exchange Commission (SEC)			
2. The submitted copy of the Articles of Incorporation and by-laws is updated or amended, if necessary; and states that the applicant's purpose is mainly or generally engaged in social welfare and development activities.			
3. For SWAs: An updated copy of Barangay Certification is submitted as proof of existence of the SWDA. For Auxiliary SWDAs: An updated copy of Barangay Certification or written agreement of partnership or corporation is submitted as proof of existence of SWDA.			
B. Organizational Structure/Policies & Procedures			
4. There is a submitted Manual of Operations containing the minimum prescribed content (Annex C) <i>Note: SWAs may opt to initially submit the version of their MOO containing the mandatory contents for RL (under item A of Annex C) during their RL application. However, the complete contents of the MOO, which includes the contents for accreditation (under item B of Annex C), should be submitted prior to the scheduled accreditation assessment visit, if applicable.</i>			
C. Financial Requirement			
5. The submitted Work and Financial Plan using Annex D is for at least two (2) years, aligned with the prescribed fund allocation (70% for program expenses and 30% for administrative expenses) and is duly signed by the Head of Agency.			
6. There is a submitted RLA Notarized Declaration Form (Annex N)			

TABLE B.
FOR APPLICANTS ALREADY ENGAGED PRIOR ITS APPLICATION

Requirements	Compliant?		Findings/Observations
	Yes	No	
A. Legal Entity			
1. There is a submitted copy of Certificate of Incorporation with the SEC			
2. The submitted copy of the Articles of Incorporation and by-laws is updated and states that the applicant's purpose is mainly or generally engaged in social welfare and development activities.			
3. If SWAs: An updated Barangay Certification is submitted as proof of existence of the SWDA. If Auxiliary SWDAs: An updated Barangay Certification or written agreement of partnership or corporation is submitted as proof of existence of SWDA.			
B. Organizational Structure/Policies & Procedures			
4. There is a submitted Manual of Operations containing the minimum prescribed content (Annex C) <i>Note: SWAs may opt to initially submit the version of their MOO containing the mandatory contents for RL (under item A of Annex C) during their RL application. However, the complete contents of the MOO, which includes the contents for accreditation (under item B of Annex C), should be submitted prior to the scheduled accreditation assessment visit, if applicable.</i>			
C. Personnel Requirement			
5. The profile of employees is accomplished or submitted using the DSWD Annex L through HELPS; and is aligned with the Worker-Beneficiary Ratio and minimum standard for staffing requirements per Annexes A and B.			
D. Financial Requirement			

TABLE B.
FOR APPLICANTS ALREADY ENGAGED PRIOR ITS APPLICATION

Requirements	Compliant?		Findings/Observations
	Yes	No	
6. The submitted Work and Financial Plan using the DSWD Annex D is for at least two (2) years, aligned with the prescribed fund allocation (70% for program expenses and 30% for administrative expenses), and is duly signed by the Head of Agency.			
7. The submitted duly accomplished financial report using DSWD Annex E is for the past year; prepared and certified true and corrected by either the accountant, treasurer, bookkeeper, or finance officer; and noted by the Head of the Agency.			
8. If the applicant SWDA was issued with a solicitation permit by the DSWD, the proceeds from the public solicitation conducted shall be reflected in the submitted financial report.			
E. Facility Standard			
9.1. If Residential-Based and Center-Based, the following documents are submitted: 1. Valid or updated Certificate of Occupancy (only for new buildings) or Annual Building Inspection Certificate (for old buildings) 2. Water Potability Certificate valid for the past three (3) months or valid Sanitary Permit 3. Valid or updated Fire Safety Inspection Certificate (FSIC) 9.2. If Community-Based, a valid or updated FSIC is submitted. <i>Note: Permits that are named under a different establishment or entity due to rental or lease, shall be allowed as long as the indicated address in the submitted permits is the same with the applicant's declared address.</i>			
F. Service Delivery & Standard			
10.1 If Residential: An updated caseload inventory is accomplished or submitted using the DSWD Annex F through HELPS. 10.2 If Community-based: An updated profile of its beneficiaries is accomplished or submitted using the DSWD Annex M through HELPS.			

TABLE B.			
FOR APPLICANTS ALREADY <u>ENGAGED PRIOR ITS APPLICATION</u>			
<i>Requirements</i>	<i>Compliant?</i>		<i>Findings/Observations</i>
	<i>Yes</i>	<i>No</i>	
G. Reporting & Documentation			
11. There is a submitted Annual Accomplishment Report of the previous year containing the prescribed content of DSWD Annex G.			
12. There is a submitted RLA Notarized Declaration Form (Annex N)			
<i>Note: If the applicant is applying for perpetual validity during the renewal of its license, additional requirements must be complied with. Please refer to Table C for the list of additional requirements.</i>			

TABLE C.			
FOR <u>RENEWAL OF CRLTO AND ACCREDITATION</u> (AS APPLICABLE)			
<i>Requirements</i>	<i>Compliant?</i>		<i>Findings/Observations</i>
	<i>Yes</i>	<i>No</i>	
A. Legal Entity			
1. There is a submitted copy of Certificate of Incorporation with the SEC*			

TABLE C.
FOR RENEWAL OF CRLTO AND ACCREDITATION (AS APPLICABLE)

Requirements	Compliant?		Findings/Observations
	Yes	No	
2. The submitted copy of the Articles of Incorporation and by-laws is updated or amended, if necessary; and states that the applicant's purpose is mainly or generally engaged in social welfare and development activities*			
3. There is a submitted Certification of No Derogatory Information (CNDI) issued by the SEC is valid within six (6) months from the time of filing of the application. In case the CNDI is not yet available, the latest submission of General Information Sheet (GIS) to the SEC shall be submitted, provided that: • There is a proof that the GIS has been received by the SEC; and • The CNDI will still be submitted on the next monitoring visit of the DSWD to the SWDA.			
4. For SWAs: An updated copy of Barangay Certification as the proof of the existence of SWDA For Auxiliary SWDAs: An updated copy of Barangay Certification or written agreement of partnership or corporation, as the proof of the existence of SWDA			
B. Organizational Structure/Policies & Procedures			
5. The submitted Manual of Operations containing the minimum prescribed content under the DSWD Annex C is updated, if necessary.*			
C. Personnel Requirement			
6. The profile of employees is accomplished or submitted using the DSWD Annex L through HELPS; and is aligned with the Worker-Beneficiary Ratio and minimum standard for staffing requirements per Annexes A and B.			

TABLE C.
FOR RENEWAL OF CRLTO AND ACCREDITATION (AS APPLICABLE)

Requirements	Compliant?		Findings/Observations
	Yes	No	
D. Financial Requirement			
7. The submitted Work and Financial Plan using the DSWD Annex D is for at least two (2) years, aligned with the prescribed fund allocation (70% for program expenses and 30% for administrative expenses), and is duly signed by the Head of Agency.			
8. The submitted duly accomplished financial report using DSWD Annex E is for the past year; prepared and certified true and corrected by either the accountant, treasurer, bookkeeper, or finance officer; and noted by the Head of the Agency.			
9. If the applicant SWDA was issued with a solicitation permit by the DSWD, the proceeds from the public solicitation conducted shall be reflected in the submitted financial report.			
E. Facility Standard			
10. Facility Standard 10.1 If Residential-Based and Center-Based, the following documents are submitted: - Valid or updated Certificate of Occupancy (only for new buildings) or Annual Building Inspection Certificate (for old buildings) - Water Potability Certificate valid for the past three (3) months or valid Sanitary Permit - Valid or updated FSIC 10.2. If Community-Based, a valid or updated FSIC is submitted. <i>Note: Permits that are named under a different establishment or entity due to rental or lease, shall be allowed as long as the indicated address in the submitted permits is same with the applicant's declared address.</i>			
F. Service Delivery & Standard			

TABLE C.
FOR RENEWAL OF CRLTO AND ACCREDITATION (AS APPLICABLE)

Requirements	Compliant?		Findings/Observations
	Yes	No	
11.1. If Residential: An updated caseload inventory is accomplished or submitted using the DSWD Annex F through HELPS. 12.2 If Community-based: An updated profile of its beneficiaries is accomplished or submitted using the DSWD Annex M through HELPS.			
G. Reporting & Documentation			
12. There is a submitted Annual Accomplishment Report of the previous year containing the prescribed content of DSWD Annex G.			
13. There is a submitted RLA Notarized Declaration Form (Annex N)			
<i>*No need to submit if there have been no updates since the last submission. Documents shall be validated instead during assessment and/or monitoring visits.</i>			

TABLE D. ADDITIONAL REQUIREMENTS IF APPLYING FOR PERPETUAL VALIDITY (FOR RENEWAL OF CRLTO)				
CRITERIA	Modes of Verification	Available		Findings/Observations
		Yes	No	
1. The SWDA has received positive findings from all the monitoring visits conducted by the DSWD from the time it was issued with the CRLTO.	Confirmation Report from the DSWD			
2. The SWDA received an award/recognition in the form of a Plaque of Recognition/Center of Excellence from DSWD, Government Agencies, LGUs, and other entities within the validity of its current CRLTO.	Scanned copy or photo of the award/recognition given within the validity period of the CRLTO			
3. The SWDA has good financial management with 80/20 financial utilization.	Accomplished financial report (Annex E) covering the previous 2-year operations of the SWDA			
4. The SWDA has received a positive public rating as reflected in at least two (2) of their public pages via online platforms (e.g. official website or social media accounts). A favorable public rating garners at least four (4) points/stars out of five (5), with five (5) as the highest.	Screenshot/photo of the SWDAs online platforms with favorable ratings.			
5. The SWDA's core staff has received at least five (5) trainings within the three (3) year validity of its CRLTO.	Scanned copy of training certificates issued within the specified period			
6. The SWDA has documented at least one good practice in its agency, implemented within the validity period of its CRLTO, with the following content: • Title • Date and venue • Objectives, outcomes, and	Scanned copy of the documentation			

TABLE D. ADDITIONAL REQUIREMENTS IF APPLYING FOR PERPETUAL VALIDITY (FOR RENEWAL OF CRLTO)				
CRITERIA	Modes of Verification	Available		Findings/Observations
		Yes	No	
target • Why is this activity regarded as good practice? • Impact, outcome, or result of the strategy on the target clients • How did the strategy contribute to the achievement of the overall targets or goals of the program? • What elements or aspects of the activity are replicable?				
7. The SWDA has established partnerships through a Memorandum of Understanding/ Agreement (MOU/A) to support its programs and services.	At least one (1) scanned copy of the MOU/A valid during the time of renewal.			