

CCTG Order No. 07  
Series of 2025

**SUBJECT: PROCESS REVIEW ON SOCIAL WELFARE AND DEVELOPMENT  
INDICATOR (SWDI) ADMINISTRATION AND CLIENT STATUS TAGGING**

**I. RATIONALE**

The Pantawid Pamilyang Pilipino Program (4Ps), is the national poverty reduction strategy of the government which was institutionalized by the Republic Act No. 11310 or "An Act institutionalizing Pantawid Pamilyang Pilipino Program (4Ps) signed on April 17, 2019. A crucial aspect of the 4Ps' lifecycle is the graduation and exit process, which signifies a household's successful transition from dependence on cash grants to achieving a level of self-sufficiency.

The **Social Welfare and Development Indicator (SWDI)** is the primary tool utilized by the Department of Social Welfare and Development (DSWD) to regularly assess and monitor the progress of 4Ps households. As the primary assessment tool utilized by the Department for assessing the level of well-being of the household, the SWDI systematically monitors the progress of 4Ps households, categorizing their well-being into distinct levels (Survival, Subsistence, and Self-Sufficient). A household's attainment of a "Self-Sufficient" (Level 3) SWDI rating is a key determinant for their graduation from the program. However, for the 4Ps to truly achieve its objectives and ensure equitable resource allocation, the integrity and accuracy of the entire SWDI process – from initial data capture to tagging of households status in the system– are paramount. Any lapses can lead to the premature exit of still-vulnerable families or, conversely, the prolonged inclusion of those who no longer require support, undermining the program's efficiency and impact.

This activity is directly prompted by Audit Observation Memorandum (AOM) No. 2025-15 (2024), issued by the Commission on Audit (COA) to Field Office IX. The COA's findings revealed several deficiencies in the delisting of 4Ps beneficiaries, which form the basis for this review. This process review will specifically focus on the following concerns:

- Non-assessment, early assessment, or erroneous tagging of beneficiaries' client status.
- Incomplete or improperly accomplished records and SWDI forms of delisted beneficiaries, alongside a lack of case folder turnovers.
- Improper conduct of SWDI assessments and insufficient capacity-building training/seminars for City/Municipal Links (C/MLs).

## II. LEGAL BASES

**DSWD Memorandum Circular No. 10, Series of 2022**, Guidelines on the Implementation of the 4Ps Kilos Unlad Social Case Management Strategy, which establishes the structured case management approach to guide household-beneficiaries through goal setting, monitoring, and transition planning, particularly in managing cases where shocks or vulnerabilities may affect their readiness for exit.

**DSWD Memorandum Circular No. 19, Series of 2023**, Guidelines on Adopting the Social Welfare and Development Indicators (SWDI) Assessment as Basis for the Exit Mechanism of the Pantawid Pamilyang Pilipino Program Household-Beneficiaries, which institutionalized the use of the Social Welfare and Development Indicators (SWDI) as the basis for determining household readiness for exit and established Level 3 (Self-Sufficient) as the graduation threshold.

**DSWD Memorandum Circular No. 14, Series of 2024**, Amendment to Memorandum Circular No. 19, Series of 2023, or the Guidelines on Adopting the Social Welfare and Development Indicators (SWDI) Assessment as Basis for the Exit Mechanism of the Pantawid Pamilyang Pilipino Program Household-Beneficiaries, which amended MC No. 19 by introducing operational refinements to the Exit Procedure, including the recognition of a single assessment period indicating Level 3 status as sufficient basis to initiate the six-month transition period.

**Beneficiary Data Management System Field Operations Manual Version 3**, as one of the systems of the 4Ps whose goal is to ensure that all validated eligible households are enrolled in the Program and the beneficiary data used in the Program implementation is updated and accurate.

**Social Welfare and Development Indicators (SWDI) Manual** serves as a guide for assessing and monitoring the level of functioning and well-being of the 4Ps beneficiaries.

## III. OBJECTIVES

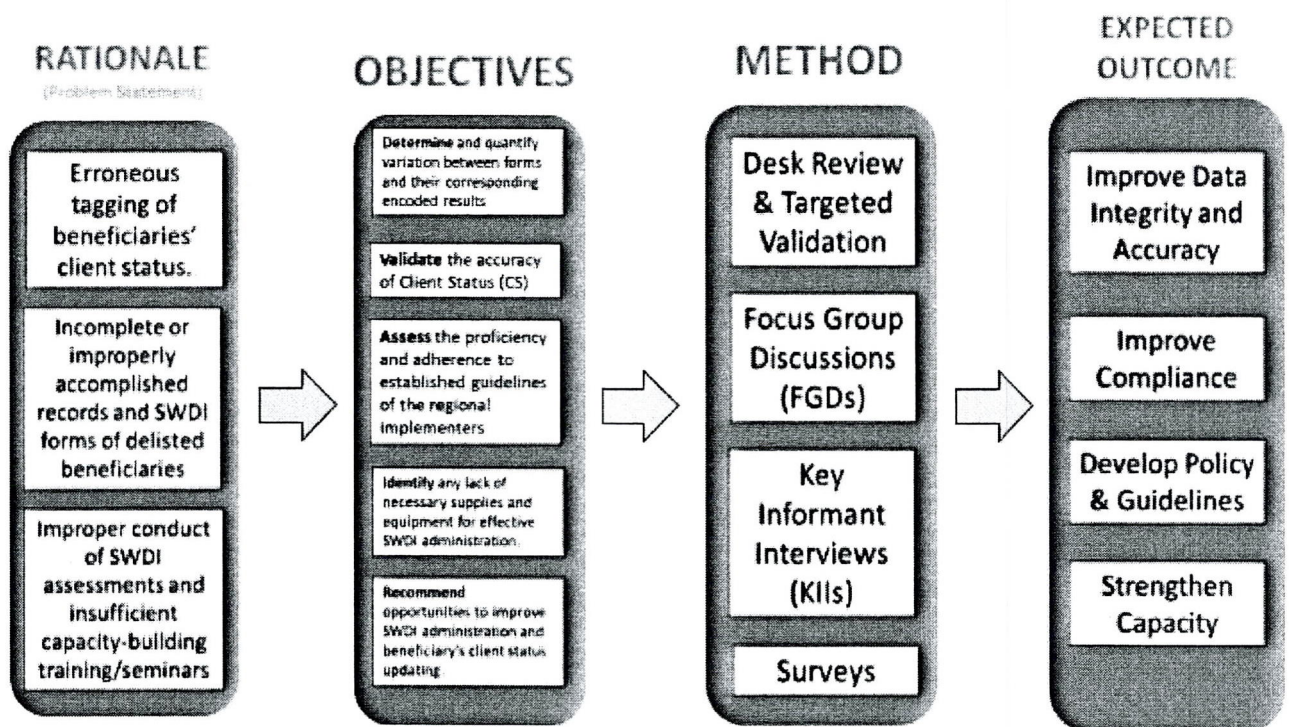
This activity generally aims to evaluate the SWDI administration and the process of client status tagging at the Regional Program Management Office (RPMO) level to determine their alignment with and compliance to established policies and guidelines. Specifically, this activity aims to:

1. Determine and quantify variations between actual SWDI forms and their corresponding encoded results within the SWDI Information System (SWDI IS), including proper accomplishment of the SWDI forms;
2. Validate the accuracy of Client Status (CS) tagging by identifying:
  - a. Households tagged as CS 15 despite having eligible children for replacement;
  - b. Households tagged as CS 3 despite having a level of well-being (LOWB) of Survival (Level 1) or Subsistence (Level 2);

- c. Households with LOWB of 1 or 2, validated without eligible children for monitoring, tagged as CS 3 instead of CS 14;
3. Assess the proficiency and adherence to established guidelines of the regional implementers in administering SWDI assessments, and identify any lack of necessary supplies and equipment for effective SWDI administration;
  4. Determine the best practices for conducting SWDI assessments and updating beneficiary information across all region regions; and
  5. Recommend opportunities to improve SWDI administration and beneficiary's client status updating.

#### IV. CONCEPTUAL FRAMEWORK

To achieve the objective of this process review, this will be an evidence-based document that could be used by the National Program Management Office (NPMO) to enhance the efficiency of SWDI assessment and client status updating and tagging.



## V. TARGETING

To ensure comprehensive coverage of the Process Review, a total of six (6) regions, two (2) from each island cluster, will be selected for CY 2025. In each selected region, the review will include the following:

Stage 1 Sampling (Purposive)	Stage 2 Sampling (Purposive and Random)	Target Number of Implementers and Beneficiaries (KII)	Target Number Implementers (FGD)	Validation of SWDI Scores and Forms (Survey)
<b>Regional Level</b>	Regional Program Management Office (RPMO)	<ul style="list-style-type: none"> <li>1 Regional Director (RD)</li> <li>1 Regional Program Coordinator (RPC)</li> </ul>	In participation of the following staff: <ul style="list-style-type: none"> <li>1 Regional Beneficiary Data Officer (RBDO);</li> </ul>	
<b>Provincial Level</b>  <i>Either the province where the encoding site or Field Office is located or the province with the highest number of Pantawid beneficiaries</i>	1st city/municipality (purposive)  Two (2) barangays with on-going and completed SWDI administration  <i>Where the DSWD FO/POO (encoding site) is located</i>  <i>Note: If the target number of delisted/graduated households is not met, respondents may be replaced by active households with SWDI assessment.</i>	<ul style="list-style-type: none"> <li>20 delisted/graduated households (CS 3, CS 14, or CS 15)</li> <li>2 Encoders for Interview</li> </ul>	<ul style="list-style-type: none"> <li>1 Regional Information Technology Officer (RITO);</li> <li>1 Regional Computer Maintenance Technologist;</li> <li>1 Regional Case Manager;</li> <li>At least 1 Provincial Link;</li> <li>At least 1 Cluster Beneficiary Data Officer (CBDO); and</li> </ul>	<ul style="list-style-type: none"> <li>10 SWDI encoded forms for validation in SWDI IS</li> <li>12 beneficiaries re-assessment of SWDI Administration</li> <li>5 C/MLs on SWDI Administration Capability</li> </ul>
	2nd city/municipality (simple random)	<ul style="list-style-type: none"> <li>2 Encoders for Interview</li> </ul>		<ul style="list-style-type: none"> <li>10 SWDI encoded forms for validation in</li> </ul>

	<p>Two (2) barangays with on-going and completed SWDI administration</p> <p><i>Note: Barangay will be randomly selected.</i></p>		<ul style="list-style-type: none"> <li>• At least 1 Social Welfare Assistant (SWA)</li> <li>• At least 1 C/MLs</li> </ul>	<p>SWDI IS</p> <ul style="list-style-type: none"> <li>• 20 beneficiaries re-assessment of SWDI Administration</li> <li>• 5 C/MLs on SWDI Administration Capability</li> </ul>
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## VI. EXPECTED OUTPUT

At the end of the visit, assigned personnel are expected to prepare necessary reports documenting the accomplishment and findings of the conducted visit. Specifically, the following:

1. **Comprehensive Final Report** which outlines the summary of findings and the recommended actions to be taken by the Field Office and the NPMO;
2. **Corrective Action Plan** prepared by the RPMO, this outlines the action plan of the FO to address and resolve the findings; and
3. **Documentation of Good Practices** for enhancement and adoption among the Regional Offices

## VII. METHODOLOGY

This outlines a comprehensive approach to review the integrity of SWDI administration and its data, focusing on identifying and rectifying erroneous encoding practices and ensuring adherence to established guidelines. The review will employ a multi-faceted strategy involving desk reviews, interviews, assessments, and surveys, targeting key stakeholders across various organizational levels.

### Desk Review and Targeted Validation

The initial phase involves a thorough desk review, examining SWDI forms against their encoded results within the SWDI IS, and evaluating relevant documents' alignment with the roles and responsibilities of regional implementers. This step aims to pinpoint discrepancies arising from erroneous encoding of SWDI Forms and the incorrect client status tagging.

### Focus Group Discussions (FGD)

This method aims to assess how (1) the process of updating beneficiary client statuses; and (2) the process of conducting and encoding SWDI assessment results is perceived or understood

by RPMOs as well as to determine the gaps, specific issues and recommendations on these processes. Respondents will be composed of the following:

- Regional Beneficiary Data Officer (RBDO)
- Regional Information Technology Officer (RITO)
- Regional Computer Maintenance Technologist (CMT)
- Regional Case Manager (RCM)
- Provincial Link (PL)/Area Coordinator
- Cluster Beneficiary Data Officer (CBDO)
- Social Welfare Assistant (SWA)
- C/MLs

### **Key Informant Interview (KIIs)**

This method aims to collect in-depth information and recommendations from regional decision-makers and accountable officers, as well as to incorporate the perspectives of beneficiary households on the identified key areas of this activity. Respondents will be composed of the following:

- Regional Director (RD)
- Regional Project Coordinator (RPC)
- Households Beneficiary
- Encoder

### **Reassessment**

This method directly reassesses households that have already completed the SWDI, allowing to verify the accuracy of the C/MLs' recent assessments.

## **VIII. DOCUMENTATION AND REPORTING**

This assessment will be comprehensive, capturing all aspects of the review from initial data collection to final analysis. This involves collecting and maintaining key documents and data, including but not limited to:

- **FGD, KII, and Survey Responses**  
Serves as records capturing the insights from the respondents and participants, and assess regional implementers' understanding and execution of SWDI assessments
- **SWDI Forms and Encoded Results**  
Comparing physical forms with their digitized versions, checking for accurate completion and correct client status tagging.
- **Delisted and Graduated Households with SWDI assessment**  
Gather the list delisted or graduated households (CS 3, CS 14 and CS 15) with recent SWDI Assessment that will be used as targeting and reference for data gathering.

- **Personnel Roles and Responsibilities**

Reviewing documents such as IPCRF and CBJD against monitoring records to understand implementer roles in SWDI administration and updating client status.

Reporting will be a continuous process, culminating in a final comprehensive report. The key reporting activities include:

- **Opening Meeting Presentation**

Prior to commencing field work, the team will prepare and present a Kick-off Meeting to discuss the objectives, scope, and plan of the activity with the Regional Director (RD) and/or Regional Program Coordinator (RPC).

- **Initial Findings for Closing Meeting**

Teams will prepare and present initial findings and observations, including preliminary recommendations, for discussion during the Closing Meeting with the RD and RPC.

- **Feedback Report**

Following the field office visits, the process reviewer will compile all findings, analysis, and recommendations based on the activity's methodology. This report will then be submitted to the Management and shared with their respective FOs.

- **Comprehensive Final Report**

A comprehensive final report will be developed, integrating all findings, analysis, and recommendations from the targeted regions. It will specifically tackle the issues outlined in the rationale and objectives, providing actionable recommendations rising from the findings and observations.

## IX. WORK PLAN

This work plan guides the execution of the Process Review across all targeted Field Offices. It details the specific procedures and objectives for consistent and effective data collection, including the necessary preparations by the NPMO.

Date/Time	Area/Activity/Process/Function	NPMO for preparation
<b>Day 1</b>		
AM	<b>Travel Time</b>	<ul style="list-style-type: none"> <li>● Prepare and present a presentation for the Opening Meeting to discuss the objective, scope and plan of this activity</li> <li>● Inform the RPMO to prepare the following for the desk review:               <ol style="list-style-type: none"> <li>1. List of target households for SWDI process review</li> </ol> </li> </ul>
1:00-2:00 PM	<b>Opening Meeting</b> <ul style="list-style-type: none"> <li>● Discuss the plan, scope and methods with the RD and/or the RPC</li> </ul>	