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Department of Social Welfare and Development

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Administrative Order

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**Guidelines on the Use of Program Supervision Model in
Social Welfare and Development Programs**

I. Rationale

The Department of Social Welfare and Development (DSWD) is mandated by law to develop, administer and implement comprehensive social welfare programs designed to uplift the living conditions and empower the disadvantaged children, youth, women, older persons, person with disabilities, families in crisis or at-risk and communities needing assistance.

With the passage of Local Government Code in 1991, the delivery of most basic services was devolved to the Local Government Units. On the other hand, the department is mandated to do policy and program development, standard setting, technical assistance and monitoring functions to Local Government Units (LGUs) and Non-Government Organizations (NGOs) to effectively implement Social Welfare and Development (SWD) programs in target areas as reflected at *EO 15 s. 1998 "Redirecting the Functions and Operations of the DSWD"*. Through authorizing SWD agencies to implement SWD program and deliver service, DSWD extends its mandate and share responsibility and potential liability for all clients that these agencies serve. Therefore, DSWD has the responsibility to oversee the implementation of SWD programs and services at all levels being the primary agency on SWD. It is for this purpose that these guidelines on program supervision is issued so that SWD agencies are guided by DSWD, including its own facilities to efficiently and effectively manage cases of disadvantaged individuals, groups, families and communities and learn from and develop skills in the process.

With the mandate of DSWD to monitor and provide technical assistance to SWD service providers or duty-holders nationwide through its Field Offices, program supervision is seen as a means of helping them deliver their respective mandates, as pointed out above, and improve the services for the target clients in center and community-based settings hence, these guidelines.

II. Legal Bases

1. **Republic Act No. 4373 as amended by RA 5175 – Regulating the Practice of Social Work in the Philippines** – Provides that no social work agency should operate unless registered with the DSWD.
2. **Republic Act No. 7160 or the Local Government Code of 1991, Chapter 2, Section 17** – Consistent with local autonomy and decentralization, the provision for the delivery of basic services and facilities shall be devolved from the National Government to provinces, cities, municipalities, and barangays so that each LGU shall be responsible for a minimum set of services and facilities in accordance with established national policies, guidelines, and standards.
3. **Executive Order 15 s. 1998 "Redirecting the Functions and Operations of the DSWD" as amended by Executive Order 221 (2003) defined the mandate, roles, powers and functions of the DSWD** – The Department

(DSWD) is mandated to provide assistance to local government units (LGUs), non-government organizations (NGOs), other national government agencies (NGAs), people's organizations (Pos) and other members of civil society in effectively implementing programs, projects, and services that will alleviate poverty and empower disadvantaged individuals, families and communities for an improved quality of life.

4. **Administrative Order 11 series 2007 “Revised Standards on Residential Care Services.** – The DSWD is the primary government agency responsible for caring for marginalized and disadvantaged sectors of society. As such it sets standards and provides consultative services to enable institutions, organizations and persons engaged in social welfare activities both in public and private settings to comply with said standards and monitor compliance.
5. **RA 9344 “Juvenile Justice and Welfare Act of 2006”** It covers the different stages involving children at risk and children in conflict with the law from prevention to rehabilitation and reintegration. The Department of Social Welfare and Development shall ensure the effective implementation of this Act and coordination among other government agencies and other institutions focused on juvenile justice and intervention programs.
6. **RA 9262 “Anti-Violence Against Women and Their Children Act of 2004”.** It is hereby declared that the State values the dignity of women and children and guarantees full respect for human rights. The State also recognizes the need to protect the family and its members particularly women and children, from violence and threats to their personal safety and security. The DSWD and LGUs shall provide the victims temporary shelter, provide counseling, psycho-social services and/or recovery, rehabilitation program and livelihood assistance.
7. **RA 9257 “Expanded Senior Citizens Act of 2003”** – The DSWD, in cooperation with the Office for Senior Citizens Affairs (OSCA) and the local government units, non-government organizations and peoples organizations for senior citizens, shall develop and implement programs on social services for senior citizens, after care and follow-up services, neighborhood support services, substitute family care.
8. **RA 8505 “Rape Victim Assistance and Protection Act of 1998”.** It is the policy of the State to provide necessary assistance and protection for rape victims. Towards this end, the government shall coordinate its various agencies and non-government organizations to work hand in hand for the establishment and operation of a rape crisis center in every province and city that shall assist and protect rape victims in the litigation of their cases and their recovery. The DSWD shall be the lead agency in the establishment and operation of the Rape Crisis Center.
9. **RA 7610 “Special Protection of Children Against Abuse Exploitation and Discrimination Act”-** The Department of Justice and the DSWD in coordination with other government agencies and private sector concerned shall formulate comprehensive program to protect children against child prostitution and other sexual abuse; child trafficking, obscene publications and indecent shows; other acts of abuse; and circumstances which endanger child survival and normal development.

III. Definition of Terms

1. **Social Welfare and Development Program** – refers to set of services designed to promote the welfare of a particular clientele group. A program is a coordinated group of activities maintained over a period of time aimed at providing specific types of services directed to the achievement of an objective or set of objectives. *(Philippine Encyclopedia of Social Work, 2000 edition)*
2. **Community-Based Services** – refer to the social welfare and development services rendered by a social worker or development worker when the helping process takes place in the community as the primary client system or when social welfare and development activities are conducted with individuals, groups or families while they remain in their homes. It is characterized by interaction between the client and worker in the community in relation to the resolution of identified problems and concerns.
3. **Program Supervision** – process of gathering and analyzing information on specific cases or group of cases of children, women, persons with disabilities, older persons, families in-crisis managed by Social Welfare Agencies (SWAs) for the purpose of facilitating efficient and effective case management including provision of guidance on policy interpretation and building capacity of service providers and SWD agencies.
4. **Program Supervisor** – refers to the personnel of the DSWD Field Office who is a member of the core group of specialist or designated as social welfare specialist for the program under supervision to whom authority is delegated to direct, coordinate, enhance and evaluate the job performance of the supervisee for whose case management/program management he/she is held accountable.
5. **Supervisee** – refers to the frontline service provider/case manager from NGOs, LGUs and DSWD that agrees to receive supervision from the program supervisor as approved by the supervisee's head of office/agency.
6. **Specialist** – pertains to a social work practitioner or practitioner of a SWD related discipline who has demonstrated expert knowledge and skills in his/her area of specialization in social welfare and development program and or an identified personnel belonging to the DSWD Core Group of specialist per Department's Memorandum Circular # 5 series of 2010.
7. **Residential Care Facilities** – refer to social welfare and development agencies or physical structure where residential care service is provided which is an alternative form of family care through 24 hours group living of individuals whose needs cannot be adequately met by their own family and relatives for a specified period of time.
8. **Social Welfare Indicator (SWI)** – describes a set of conditions and situations and resource utilization that enables a client to function adequately and make full use of opportunities available in the community to improve his situation or resolve problems. Determines the level of economic and social well being of a client as survival, subsistence or self-sufficient.

IV. Objectives

A. General Objective:

Facilitate efficient and effective management of cases of disadvantaged children, youth, women, persons with disabilities, older persons, and families in crisis/at risk needy communities handled by LGUs, NGOs and DSWD.

B. Specific Objectives:

1. Establish performance measures to monitor and evaluate social welfare and development program performance and impact on cases covered by supervision.
2. Improve worker/agency performance by providing or accessing to technical support to recipient of supervision.
3. Facilitate on-site and participatory problem-solving on case management with service provider (LGU, NGO and DSWD).
4. Assist service providers in enhancing capabilities to manage cases of an individual, family, group or community.

V. Coverage of Program Supervision

Program supervision covers social case management for children, youth, women, older persons, persons with disability, families in crisis or at-risk and needy communities implemented by the DSWD, the Local Government Units (LGUs), and Non-Governmental social welfare and development Organizations (NGOs) issued license and/or accreditation or agencies over which DSWD has oversight, monitoring and technical assistance functions and which agree to receive supervision from DSWD.

The program supervision shall facilitate and assess the effective and efficient case management process on (1) cases referred by DSWD for after care services, (2) cases issued certification as legally available for adoption, (3) cases referred for protective services, (4) cases of Children in Conflict with the Law (CICL) managed by LGUs, NGO or DSWD. It shall be done at the regional level by the DSWD Field Offices designated member of the Core Group of Specialist organized by the Department, who is a specialist in respective five social welfare programs i.e. child and youth, women, older persons, persons with disabilities and family and community. The program supervision shall prioritize cases for supervision. In the absence of a program specialist/case management supervisor a focal person of the particular program or service will act as program supervisor.

VI. Program Supervision Phases

The following are the phases of program supervision.

Phase I. Preparations

The initial phase is the preparation which focuses primarily on setting the objectives of program supervision. The program supervisor will provide the entities/persons that will be the key resources in subsequent phases (e.g. DSWD, LGUs and NGOs) with the detailed explanation of the supervision activities.

The Program Supervisor shall:

1. Define the cases to be covered for supervision, ensure all relevant background documents and reports are available e.g. profile of cases,

- progress document, annual work and financial plan, monitoring and evaluation reports, and previous supervision reports;
2. Assist the agency in installing an efficient case management system;
 3. Assess and identify gaps in case management including appropriateness and adequacy of knowledge, skills and attitude of supervisee in relation to cases covered by supervisor facilities structures and procedures;
 4. Define objectives, methodology and timing of supervision;
 5. Inform the supervisee entities/persons who would be part of the supervision activity and agree in the objectives;
 6. Identify appropriate supervision activities e.g. meetings, filed visits, stakeholders consultation, etc., responsive to issues at hand.

The Supervisee shall:

1. Provide the program supervisor relevant documents and reports available e.g. profile of cases, progress documents, annual work and financial plan, monitoring and evaluation reports, and previous supervision reports;
2. Participate and provide inputs in defining the objectives, methodology, type and timing of supervision to be conducted;
3. Participate on the conduct of meetings, field visit, consultation, focus group discussion with the program supervisor.

Phase II. Defining the Terms of Reference (TOR)

Formulating terms of reference prior to conduct of program supervision is essential in defining and developing the scope, timeframe, roles and resources for the activity. It also provides an agreement between the program supervisor and the supervisee for future decision and confirming or developing a common understanding among the service providers. (*Refer to Annex A*)

The Program Supervisor shall:

1. Review and clearly spell out/firm up the objectives of supervision including timeline, inputs and outputs of the activities as well as outcomes and impact;
2. Identify implementer's commitments and tasks in supervision activities; clarify if there have been any changes in the implementer's (individual worker/professional or agency) commitments since the program or project inception of the supervision program.
3. Secure the approval of the DSWD Regional Director, NGOs and LGUs Director/Head approval of the TOR and share in pursuing supervision goals.

The Supervisee shall:

Participate on the crafting of TOR with the program supervisor in identifying objectives, commitments, tasks and supervision activities on the conduct of program supervision.

Phase III. Conducting Actual Supervision

This phase provides opportunity for the program supervisor to assess and evaluate the effectiveness of operational procedures, quality of service and accomplishment of the goals or objectives of the program/project under supervision. The conduct of actual supervision may be done on a monthly basis.

The Program Supervisor shall:

1. Assess the progress of case within the time frame defined in the TOR with the supervisee's intervention, based on case recordings and case conference and monitoring of clients progress using the Social Welfare Indicator (SWI) and other appropriate indicators among others;
2. Guide the supervisee's conduct of case conference with stakeholders (including clients as necessary) focusing on the issues and implementation bottlenecks and strategize next steps based on the recommendations and decisions agreed with them;
3. Conduct field visit if necessary to further assess case management and program implementation;
4. Convene supervision meetings and discuss findings and recommendations (recommendations should be within the existing capacity of implementing agency/facility);
5. Incorporate supervisee views (e.g. recommendation and analysis of findings) on the program supervision conducted.
6. Assist the agency and supervisee in formulating recommendations in installing an efficient case management system that address the cases covered by the supervision;
7. Evaluate the performance of the supervisee in terms of knowledge, skills and attitude per objectives of the case management supervision.

The Supervisee shall:

1. Attend meeting and discussion with the program supervisor on case management process;
2. Provide the necessary documents e.g. social case study report, intervention treatment plan, case recording, accomplished SWI tool/ other appropriate tools etc. for review and assessment of program supervisor;
3. Assist the program supervisor in the conduct of field visit;
4. Participate in the discussion along with the program supervisor of the findings and recommendations on the program supervision conducted.

Phase IV. Report Preparation

The supervisor shall write his/her supervision report and make this as one of the bases for evaluation for the SWD program covering subject of supervision. The report serves as a document to account for the supervision activities and progress towards achieving the objectives and gauging the rehabilitation/progress per indicators formulated.

The Program Supervisor shall:

1. Address issues listed in the TOR and other issues identified during supervision;
2. Spell out specific suggestions and adequate guidance to the agency/ supervisee;
3. Consolidate the findings based on the issues/concerns and recommendation and submit on a quarterly basis to the DSWD Regional Director. All reports should reflect measurable indicators of extent of achieving objectives and targets set within the supervision plan for the period;
4. Reports on each program review and evaluation as agreed in the TOR shall also be prepared and submitted as indicated in item 3 above. Content shall be according to the performance measures and indicators formulated by the supervisor and supervisee;

5. Modify supervision plans, recommend for the enhancement of programs, services, procedures and structures, coordination mechanisms, among others based on the reports.

The Supervisee shall:

1. Report the results of supervision to the agency head within five (5) working days after each supervision session.

VII. Institutional Arrangements

The responsibilities of the officers in Central Office (CO) and Field Office (FO) are as follows;

Central Office

Program Management Bureau (PMB)

1. Consolidate the supervision report of the regional supervisors and analyze programs and systems including gaps and situations at the national level and provide recommendations.
2. Provide technical assistance and direction to the Field Offices and refer to/coordinate with the respective OBSUs issues, gaps identified by the program supervisor for appropriate action/recommendation.

Social Welfare Institutional Development Bureau (SWIDB)

1. Organize and sustain the Core Group of Specialist (CGS) at the Central Office level in coordination with the Human Resource Management and Development Service (HRMDS).

Regional Level

Regional Director

1. Designate regional program specialist as program supervisor in respective social welfare and development program for the cases covered in these guidelines.
2. Provide over-all direction, technical and administrative supervision to the regional program supervisor in accordance with the areas and phases of program supervision.
3. Approve supervision plan, enhancement of programs, services, procedures, policies and structure, coordination mechanisms and recommendation for action.
4. Assign tasks to coordinator for centers and residential care facilities, Operation Division, Technical Division and Management Division or other unit of the Field Office for action based on recommendation of program supervisor.
5. Submit consolidated report on program supervision to DSWD Central Office-PMB.

Centers/Residential Care Facilities

1. Facilitate implementation and monitoring of case management plan as agreed with program supervisor.
2. Conduct performance review and assist in the development and evaluation of program and services.

Operations Division (OD)

1. Facilitate program review with stakeholders (include direct service workers, professional partners, clients and donors)
2. Conduct performance review and assist in the development and evaluation of program and projects.
3. Follow through the actions of DSWD supervisees under its responsibility based on agreements with program supervisor.

Technical Assistance Division (TAD)

1. Conduct performance review and assist in the development and evaluation of program and projects.
2. Follow through the actions of DSWD supervisees under its responsibility (NGOs and LGUs) based on agreements with program supervisor .

Management Division (MD)

1. Provide inputs to the plan of program supervisor regarding administrative aspects of implementation of service.
2. Provide administrative support to the supervision plan and its implementation.

Institutional Development Unit (IDU)

1. Organize the CGS at the Field Office level in coordination with the Personnel Unit.

VIII. Reporting

The DSWD Field Office, as part of its accomplishment on the utilization of the program supervision model, shall submit a quarterly report to the PMB using the prescribed reporting template (refer to Annex B). Submission of quarterly report is every 10th day of the first month of the next quarter. The PMB will furnish the Coach Monitor of the concerned FO copy of the report on the 15th day of the first month of the succeeding quarter.

IX. Monitoring and Evaluation

The monitoring of social welfare and development program of the program supervisor shall be based on the program performance and impact on cases covered during the program supervision.

The Inspectorate Committee assessment report on the DSWD centers and residential care facilities shall be one of the sources of information in monitoring and evaluation with regards to case management.

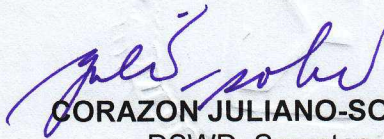
X. Funding Support

The DSWD Field Office shall allocate funds for program supervision activities based on the approved project proposal for a year and shall be included in its annual Work and Financial Plan.

XI. Effectivity

These guidelines shall take effect immediately.

Issued on the 31st day of August 2011.



CORAZON JULIANO-SOLIMAN
DSWD, Secretary

