



## MEMORANDUM CIRCULAR

No. 19

Series of 2023

**SUBJECT: 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**

### I. RATIONALE

Republic Act No. 11310 or the “Act Institutionalizing the Pantawid Pamilyang Pilipino Program”, defines 4Ps as the national poverty reduction strategy and a human capital investment program that provides conditional cash transfer to poor households for a maximum of seven (7) years, to improve the health, education, and nutrition aspect of their lives. On a nationwide basis, the Department of Social Welfare and Development (DSWD) selects qualified household beneficiaries of the 4Ps using a standardized targeting system (Section 5. Selection of Qualified Households Beneficiaries, RA 11310). Further, the law stipulated that poor and near poor households identified by the standardized targeting system and with children 0 to 18 years old, with pregnant women and willing to comply with the Program conditionalities, are eligible to the Program (Section 6. Selection of Qualified Beneficiaries).

The National Household Targeting System for Poverty Reduction or Listahanan, which is ascribed in the Implementing Rules and Regulations (IRR) of the RA 11310 as a tool for targeting and identifying the poor, has been the source of the 4Ps for potential eligible households to the Program. In addition, Rule XV, Exit from 4Ps of the 4Ps Act, states that, “the DSWD, in consultation with the National Advisory Council (NAC), will formulate specific exit procedures, including the creation of a Household Intervention Plan (HIP)” (Section 6, 2nd paragraph, IRR RA 11310). Graduation of households from the Program, as further defined in the IRR, the said household beneficiaries shall be assisted to their eventual exit from the Program. Further, the DSWD shall develop a set of standardized procedures, mechanisms and tools to ensure that household beneficiaries are assessed on their level of well-being and compliance with the Program conditions upon entry into and until they exit from the Program within a seven-year timeline (Section 16, IRR of 4Ps Act).

Corollary to this, the NAC passed Resolution No. 9, series of 2021, approving the Guidance Note on the Implementation of the Graduation and Exit Procedure among the beneficiaries who have been assessed to have achieved a Self-sufficient Level of Well-being (Level 3) in the SWDI assessment. The said Resolution paved the way for the issuance of Memorandum Circular No. 10, Series of 2022, or the

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Guidelines on the Implementation of 4Ps Kilos-Unlad Social Case Management Strategy. The two documents emphasize the use of SWDI tool to determine the developmental needs of the beneficiaries as well as their level of well-being in order to plan appropriate interventions towards a successful Program exit.

The SWDI helps to determine who among the households are in the (1) Survival Level (Level 1) or households that are considered the poorest; (2) Subsistence Level (Level 2) or households who have minimal income and barely meet the basic living necessities; and (3) Self-Sufficient Level (Level 3) or households with enough income and resources in meeting the demands of all household members. Beneficiaries that have achieved Level 3 well-being in two (2) consecutive SWDI assessment results will be recommended by the case manager through a Social Case Study Report (SCSR) to undergo the Exit Procedure and upon approval of the Regional Director, will be endorsed to the LGU concerned for post services.

Equally important to take cognizance of is that the DSWD's Organizational Outcome 1 (OO1), as one of its strategic goals, aims to improve the socio-economic well-being of the poor. In order to effectively contribute to this, the 4Ps amplifies the Kilos Unlad case management strategy, with the SWDI tool as an instrument in assessing the well-being of the Program beneficiaries annually.

Thus, this set of Guidelines supports the goals and direction of the Department in making the exit of the 4Ps beneficiaries a defined and purposive transition to uplift their lives.

## II. LEGAL BASES

1. RA No. 11310, or the 4Ps Act, and its IRR
2. NAC Resolution No. 9, series of 2021, or the Guidelines on the Implementation of Graduation and Exit Procedure under the 7-Year Kilos-Unlad Social Case Management Framework
3. Memorandum Circular (MC) No. 10 series of 2022, or the Guidelines on the Implementation of the Kilos-Unlad: 4PS Social Case Management Strategy
4. Joint Memorandum Circular (JMC) 2022-001 series of 2022, or the Guidelines in support of the Implementation of the Pantawid Pamilyang Pilipino Program (4Ps)
5. National Advisory Council (NAC) Resolution No. 1, s. 2023, or the Resolution Adopting the Social Welfare and Development Indicators (SWDI) of the Department of Social Welfare and Development (DSWD) as a Tool in the Exit Procedure of Household-Beneficiaries of the Pantawid Pamilyang Pilipino Program
6. Memorandum from the Secretary dated 19 July 2023 with subject, "Guidance on the Conduct of Social Welfare and Development Indicator (SWDI)

Assessment of 4Ps Beneficiaries that were Found Non-Poor in Listahanan 3 from the NMDC Directives”

### III. DEFINITION OF TERMS

**1. Client Status (CS) 3** - a 4Ps household-beneficiary tagged in the Pantawid Pamilya Information System (PPIS) as having achieved Self-Sufficient status for two consecutive assessments and ready to exit from the Program.

**2. Level of Well-being**- a measure of progress or upliftment of family well-being scaled through three levels: survival, subsistence, and self-sufficiency.

**2.1. Survival**- the poorest of the poor with no income nor the means (employment and education) to buy the country’s prescribed meal set and to sustain basic needs, on a daily basis. Cash assistance is needed as much as assistance for future employment along with free access to health care facilities and free education.

**2.2. Subsistence** – a household could barely meet the basic living necessities with income and capacities enough only to purchase the basic food needs; no excess income to use for emergency funds nor can be spared as savings; assistance is needed for better employment or extra livelihood for additional income.

**2.3. Self-sufficient** – a household has the means to support and sustain the daily needs.

**3. Pantawid Pamilya Information System (PPIS)** - the information system being used by the 4Ps which contains all data of Program households

**4. Social Welfare and Development Indicators (SWDI)** - is a case management tool specifically developed by the DSWD to assess and monitor the well-being of the households of 4Ps

**5. Social Welfare and Development Indicators (SWDI) Information System (SWDI-IS)** - is the information system being used by the 4Ps which contains the encoded results of household’s level of well-being based on the SWDI assessment

### IV. OBJECTIVES

#### 1. General Objective:

Guide the Program implementers on the appropriate mechanism and processes to operationalize and use the SWDI tool as basis for Program exit of the household beneficiaries.

## 2. Specific Objectives:

2.1. Enable the field implementers to undertake appropriate steps and procedures in assessing the households' readiness in exiting the 4Ps using the SWDI tool;

2.2. Guide the field implementers on the appropriate tagging of households in the PPIS, in monitoring and reporting based on the SWDI assessment results.

## V. SCOPE, COVERAGE AND APPLICABILITY

This set of guidelines applies to all 4Ps beneficiaries who are active in the Program and those households that may be inactive but are undergoing case management interventions due to assessed risks and vulnerabilities.

This also covers the use of the tool by all personnel in all levels of 4Ps implementation nationwide for the purpose of determining the level of well-being of 4Ps household beneficiaries and in undertaking appropriate assessment and interventions towards the achievement of self-sufficiency of the beneficiaries. SWDI assessment will be conducted to all 4Ps beneficiaries on a yearly basis.

The SWDI tool will be used in the exit of households with Level 3 or Self-sufficient level of well-being based on the SWDI assessment result. A household that is self-sufficient is one that possesses skills on problem solving, financial management, aware of and is able to use or access community resources and institutions for support, can articulate its vision and family milestones and demonstrates the ability to cope with crisis and challenges.

## VI. IMPLEMENTATION PROCEDURES

### 1. SWDI ADMINISTRATION

Active household-beneficiaries are assessed annually following the last assessment period utilizing the SWDI tool to assess their needs and track the progress of the households based on the interventions based on their needs:

1.1. The case manager or the City/Municipal link (C/ML) shall conduct SWDI assessment through home visits as it is encouraged that members of the household participate in the assessment process. The case manager is also required to observe the current housing, health, and sanitation condition of the household in person, which form part of assessing their biopsychosocial well-being.

1.2. The accomplished SWDI tool will be reviewed by the Social Welfare Officer (SWO) III in terms of completeness, correctness, and consistency of data and assessment. The SWO III will approve the accomplished SWDI if in order and endorse it for encoding.

Prior to the actual administration of SWDI, the Regional Case Management (RCM) focal person shall confirm with the Regional Beneficiary Data Officer (RBDO) the current address of the household. The following will be undertaken in the corresponding situations:

**1.3. Household that transferred residence to another Field Office -** The RCM shall facilitate the endorsement of the list of households for SWDI assessment to the FO concerned.

**1.4.** The receiving FO will facilitate the verification of the household and shall conduct SWDI assessment after confirming the residence of the household in the said FO.

**1.5. Households that moved out of the area without prior notice-** In case a household has moved out from the FO where they are registered without prior notice to the assigned C/ML and cannot be found in the area in 60 days, it shall be tagged with Client Status 12-Moved out of the area without notice in the PPIS following the existing guidelines on the said tagging. The household can only be administered with SWDI until such time that the household has been determined as illegible. Reactivation will then be facilitated and approve by the Regional Director.

**1.6. Households that transferred their residence to another province/city/municipality/barangay but within the same Region –** shall be subject to regular updating process of the Program to be facilitated by the caseworker.

## 2. SWDI ENCODING

**2.1.** All completed and approved SWDI assessments are to be encoded by the Social Welfare Assistant (SWA) or by personnel as assigned by the Regional Director to encode in the SWDI Information System (IS). The SWDI-IS as the official monitoring and tracking system of the level of well-being of the household-beneficiaries.

**2.2.** The list of all self-sufficient household-beneficiaries for two consecutive assessment periods shall be generated by the Regional Monitoring and Evaluation Officer (RMEO) and submitted to the Regional Case Management (RCM) Focal for evaluation and to the Regional Program Coordinator (RPC) for approval and endorsement to the households' respective case managers.

**2.3.** The list of households that are found eligible for exit will be certified by the Regional Director and will be submitted to the National Program Management Office (NPMO) for payment certification of payment of grants and endorsed to the C/ML for transition for a period of two months.

### 3. TRANSITION

**3.1.** All household-beneficiaries eligible for exit shall be engaged in a transitioning orientation session through a home visit and/or in a series of Family Development Session (FDS) undertaking or emphasizing the following:

**3.1.1.** The case manager shall inform the household of its Level 3 status, explaining the indicators of progress that the household has achieved, hence, the basis for recommending the household for exit.

**3.1.2.** The transitioning household beneficiaries shall participate in (a) session/s on the *Pagpupugay sa Tagumpay ng mga Ka-4Ps* and other activities that the DSWD Field Office may find useful in helping the household in the transition process.

**3.1.3.** Communicate a clear message that exit and/or graduation from the Program is a celebration of success and resiliency of the household.

**3.2.** The household shall be engaged in a transition assessment to jointly evaluate the gains achieved from 4Ps, which will help in defining their progress, milestones, and readiness for exit from the Program, including residual needs to be further attended to by the household and by the Local Government Unit (LGU) covering the residence of the household. A transition plan shall then be prepared by the case manager from this process. This aims to sustain the gains achieved by the household from the Program.

In the transition assessment process, the following behavioral indicators of self-reliance must be acknowledged and documented:

- Able to indicate milestones and coping with challenges
- Demonstrates problem-solving skills on issues and challenges faced by the households;
- Aware of and can access the various community resources and institutions that the household or its members can tap for support
- Expresses clear plans or vision for the future of the family
- Demonstrates financial management skills

**3.3.** The final document to be prepared by the case manager is the Social Case Study Report (SCSR) explicitly indicating clear progress in the level of well-being of the household establishing the basis for the recommendation for exit. The following accomplished forms shall serve as reference guide of the case manager in the preparation of the SCSR:

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### 3.3.1 Transition Assessment Form (Annex E)

### 3.3.2 Progress Report (Annex D)

3.4. The recommendation of the case manager on the graduation of self-sufficient household-beneficiaries should be concurred by the case supervisor or the Social Welfare Officer III and/or Provincial Link and shall be endorsed to the RPC. The official roster of the household-beneficiaries recommended for Graduation will be submitted by the RPC to the Regional Director for approval.

3.5. Upon approval of the Regional Director, the households shall then be tagged by the RBDO with **Client Status 3** or **“Households with Self-Sufficient Well-being”** in the PPIS. The households tagged with CS 3 will be delisted from the Program and shall no longer receive cash grants upon being tagged with CS 3. On the other hand, these households will still receive appropriate grants for the period prior to delisting based on their compliance to Program conditions within these periods.

## 4. POST-SERVICE

As stipulated in MC 10 series of 2022, or the Guidelines on the Implementation of the Kilos-Unlad: 4Ps Social Case Management Strategy, the post-program services shall be provided by the LGU social workers according to the Sustainability Plan.

4.1. The households shall be assisted by the LGU in accessing the package of services based on the needs and plans of the households as stipulated in their Household Transition Plan (HTP). These services include, but are not limited to the following:

4.1.1. Coaching and Mentoring – personalized sessions as response and support shall be provided to mitigate risks and ensure continuity of their transition progress.

4.1.2. Livelihood Facilitation – full employment and livelihood opportunities will be made available through DSWD’s Sustainable Livelihood Program (SLP) and other similar programs offered by the government such as but not limited to Department of Labor and Employment (DOLE), Department of Trade and Industry (DTI), and Department of Agriculture (DA), or any accredited private and civic organizations forged through a Memorandum of Agreement (MOA)

4.1.3. Educational Assistance – scholarship grants for college, vocational programs, student loans, sponsorships, and other school fees/ costs supportive of instruction from private donors, government

and non-government institutions, religious, civic groups, and other academic institutions.

**4.1.4. Skills Training** – provision of specialized/ technical skills training on their chosen enterprise or to enhance employable skills including capacity-building activities focused on asset management for steady income, technical vocational courses as well as refresher training to strengthen initial technical training courses for employment and entrepreneurship.

**4.1.5. Community Building** -- sustained initiatives of organized groups and communities as indicated in the sustainability plan. It includes lobbying support to the LGUs for passage of Ordinances or Resolutions and/or Executive Orders supporting the 7-year program of 4Ps, local Budget Allocation for 4Ps Implementation concerning SWDI and Supply Side Gaps included in the Annual Investment Plan, and hiring of LGU staff to assist in the program implementation.

**4.1.6. Other services/ interventions** that may be provided include disaster risk reduction and resilience programs, re-integration, housing interventions, disability support, senior citizens' pension, small business support (e.g., temporary waiver of local social fees), financial inclusion, small commercial loans, and among others.

The 4Ps Regional Program Management Office (RPMO) shall coordinate and collaborate with the Regional, Provincial and/or Municipal/City Government Units for the adoption of local ordinance or resolution supporting and sustaining the gains of households with appropriate services, programs, and policies. The LGU shall establish mechanisms for the sustained self-sufficient level of well-being of the households, including a monitoring system for this purpose, which are provided for in DSWD-DILG JMC No. 2022-001, s. 2022 or the "Guidelines in Support of the Implementation of the 4Ps".

The LGU shall provide a feedback report after six months to one year from the date the household was endorsed to the LGU indicating the current status of the household and the interventions provided by the LGU (*Please see Annex H for the Post-Service Feedback Report template*).

## 5. GRADUATION AND EXIT

**5.1.** The household shall participate in the Pugay-Tagumpay ceremonies as graduates of 4Ps. At the ceremonial rites, the following are expected to be undertaken:

**5.1.1.** Turn-over of case folders to the LGU of exited household beneficiaries



**5.1.2.** Beneficiaries are awarded with a Certificate of Self-sufficient Household (Sertipiko ng Pagkilala) and formally endorsed to their respective LGUs for post-service intervention.

**5.1.3.** Provision of programs and services form different program partners and stakeholders such as livelihood package, scholarship, microfinancing, etc.

**5.1.4.** The signing of MOA or declaration of local interventions including ordinances in support of 4Ps highlighting their acceptance and provision of post-service intervention such as livelihood and access to employment, scholarships, skills training, etc.

## **VII. MONITORING AND REPORTING**

The SWDI assessment results of the household-beneficiaries shall be monitored in the SWDI-IS by the NPMO-Social Service Delivery Management Division. On the other hand, the DSWD Field Offices will monitor the progress of the well-being of the households based on the SWDI assessment on a semestral basis and will form part of the commitment of the Field Office in its annual Office Performance Contract.

## **VIII. GRIEVANCE MECHANISM**

All grievances on the conduct and result of SWDI assessment will be managed and monitored by the Field Offices. The 4Ps-NPMO may also receive SWDI-related grievances, which will be referred to the Field Office concerned for resolution. The Field Office shall monitor the grievances received and provide appropriate and prompt action and feedback to the NPMO and the reporting party/ies in accordance with the prescribed processing time under RA 11032 otherwise known as the Ease of Doing Business and Efficient Government Service Delivery Act of 2018 as well as the applicable existing grievance policies and procedures.

## **IX. INSTITUTIONAL ARRANGEMENT**

### **1. Pantawid Pamilyang Pilipino Program - National Program Management Office**

**1.1.** Develop policies and guidelines on the use of SWDI tool and the assessment system and processes.

**1.2.** Act as the lead Office in monitoring and coordinating the conduct of SWDI assessment to all 4Ps household-beneficiaries with the Field Offices;

**1.3.** Plan, allocate and facilitate the release of funds related to the yearly conduct of SWDI assessment;

- 1.4. Monitor and provide technical assistance on the implementation and administrative concerns to the FOs in the conduct of SWDI assessment and its related activities;
- 1.5. Submit reports on SWDI assessment to the Department Secretary and to other offices as required;
- 1.6. Conduct regular SWDI Implementation Review;
- 1.7. Conduct regular capability-building activities to all Program implementers on the SWDI assessment

## **2. Information and Communications Technology Management Service - Central Office**

- 2.1. Provide technical assistance to 4Ps-NPMO and RPMOs on Information System-related matters significant to the SWDI assessment;
- 2.2. Conduct troubleshooting and system enhancement activities on SWDI-IS to ensure continuous responsiveness and functionality of the system;
- 2.3. Participate/ act as resource person in the provision of technical assistance or conduct of capability-building activities related to SWDI assessment

## **3. DSWD Field Offices**

- 3.1. Conduct the SWDI assessment annually and manage its implementation in the Field Office.
- 3.2. Monitor the progress of beneficiaries in their level of well-being based on the SWDI assessment
- 3.3. Conduct trainings/ orientation to all Program staff who will be involved in SWDI assessment and its concomitant activities;
- 3.4. Facilitate the procurement of goods/services and hiring of encoders and other personnel for the SWDI assessment;
- 3.5. Submit prescribed reports annually and/or as needed to 4Ps-NPMO and to the DSWD Secretary on the results of regional accomplishments on SWDI assessment.

## **4. Local Government Units**

- 4.1. The Local Social Welfare Development Officer shall serve as the Case Manager of the Households upon turn-over from the DSWD Pantawid and shall provide services to the households during their stay and after their exit from the Program;
- 4.2. Provide support to the DSWD Field Office, as necessary, in the conduct of SWDI assessment;

4.3. Submit a Post-Service Feedback Report (*please see Annex H from MC 10, s. 2022*) to the Regional Director on the LGU's post-monitoring of the Program graduates.

## X. TRANSITORY PROVISION


Given the directive of the DSWD Secretary in his memo dated 19 July 2023 with subject, "GUIDANCE ON THE CONDUCT OF THE SOCIAL WELFARE AND DEVELOPMENT INDICATOR (SWDI) ASSESSMENT OF 4PS BENEFICIARIES THAT WERE FOUND NON-POOR IN LISTAHANAN 3 FROM THE NMDC DIRECTIVES", the result of the 2023 SWDI assessment of all non-poor 4Ps households in Listahanan 3 shall be the basis of either reverting them as active beneficiaries in 4Ps or exiting them from the Program.

## XI. REPEALING AND EFFECTIVITY CLAUSES

This Memorandum Circular shall take effect immediately. All guidelines inconsistent with the provisions of this Memorandum Circular are hereby modified or amended; accordingly, provided that such circulars complement or top off details of this guideline.

Furnish copies of this issuance to DSWD Central Office and Field Offices.

Issued in Quezon City, this 02 day of October 2023.

  
 REX GATCHALIAN  
 Secretary  
 Date: OCT 02 2023

Certified True Copy  
  
 MYRNA H. REYES  
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