Listahanan
Info Kit

Table of Contents

WHAT IS LISTAHANAN?

Listahanan, also known as the National Household Targeting System for Poverty Reduction (NHTS-PR), is an information management system that identifies who and where the poor are nationwide. This system makes available to National Government Agencies (NGAs) and other social protection stakeholders a database of poor households as basis in identifying potential beneficiaries of their social protection programs and services.

Why do we need a targeting system?

We need a targeting system because resources are limited. Use of these resources on programs that seek to reduce poverty will have less impact and will be wasted if they do not reach the poor who need them the most. A unified set of criteria for identifying the poor would enable convergence and complementation of social protection programs in addressing the different dimensions of poverty. This will maximize the impact of social protection programs and, at the same time, minimize wastage of resources.

What are the objectives of Listahanan?

- Formulate a uniform set of criteria for identifying poor families in the country through scientific means;
- Maximize the benefits of social protection programs by developing evidenced based services for the poor;
- Minimize wastage of resources by ensuring that only those who are deserving benefit from social protection programs
- Facilitate sharing of the high quality database to public and private social protection stakeholders.

Who are involved in targeting?

The Department of Social Welfare and Development (DSWD) spearheads the process of identifying the poor through the National Household Targeting Office (NHTO) National Household Targeting Sections (NHTS) are also organized in all DSWD Field Offices to monitor more closely the operations on the ground. During assessments, the NHTS hires, trains and supervises the field staff composed of area coordinators (AC), area supervisors (AS), enumerators, encoders, and verifiers. The field staff, who play specific roles during the assessment, are NOT assigned in areas where they are from to avoid any influence on the data collected from households. The NHTO holds regular consultations with its National Technical Advisory Group (NTAG). The NTAG is composed of technical experts in poverty, economics, statistics. and demography.

Who benefits from Listahanan?

The poor ultimately benefits from the use of Listahanan. The database of poor households is used by government agencies and organizations that deliver social protection programs and services. Everyone can access the Listahanan for purposes that aim to assist the poor, subject to Department's data sharing guidelines

Legal Bases

Department Order No. 1 Series of 2008. Adoption of the Targeting System for Poverty Reduction as a Mechanism for Identifying Potential Beneficiaries of the DSWD Social Protection Programs and Services.

National Statistical Coordination Board (NSCB) Resolution No. 18 series of 2009. Recognizing and enjoining support to the Targeting System being implemented by the DSWD as a Tool to Identify Beneficiaries of Social Protection Programs.

Executive Order 867 series of 2010. Providing for the Adoption of the NHTS-PR as the Mechanism for Identifying Poor Households who shall be Recipients of Social Protection Programs Nationwide.

• EO 867 series of 2010 mandates all NGAs to use the Listahanan for their social protection programs and services.

Why are household assessments being conducted by the DSWD instead of the Philippine Statistics Authority (PSA), which regularly produces the poverty statistics?

It is by EO 867 series of 2010 that the government gave this responsibility of identifying poor families to DSWD. As the leader in social protection and the implementer of key government social assistance programs, it is the Department's duty to implement policies and programs in the most effective and efficient manner.

Having a targeting system that is based on a scientific, objective, and standard set of criteria to identify the poor is important to achieve the Department's goal and mandate.

The mandate of the PSA, then National Statistics Office (NSO) and National Statistical Coordination Board (NSCB), is to provide general-purpose statistics that are relevant at the aggregate level. For example, they produce poverty estimates for the region or province, but they will not be able to pinpoint every poor household in that province. This is because the PSA is bound by a confidentiality clause under Section 4 of the terms and conditions of the Commonwealth Act No. 591 (August 19, 1940), which states that the "data furnished to NSO will be kept strictly confidential..." They cannot disclose who are the poor families in the province and their exact location, which is what program implementers need in order to extend assistance to these poor families more directly.

Since the DSWD is not a data collection agency, what is the assurance that the data collected by DSWD are credible and reliable?

The PSA is also a member of the National Technical Advisory Group (NTAG).

The NHTO has enlisted the assistance of the PSA in the development of its data collection tool and enhancement of its enumerators' manual. The variables that the Listahanan use to identify the poor are taken from official surveys and censuses like the Family Income and Expenditure Survey (FIES), the Labor Force Survey (LFS), and the Census of Population and Housing (CPH) which are all being administered by the PSA. Within its operations, Listahanan also implements accountability structure to ensure that information collected and stored in its database are correct and fraud-free. Stringent data collection and supervision, random interviews, spot checks at various phases of the implementation, and citizen's feedback are just some of the mechanisms that have been put in place to ensure that the information in the database are valid and of high quality.

Role of the Local Government Units

What is the role of LGUs in the implementation of Listahanan?

The Local Government Units (LGUs) perform a vital role in ensuring the success of Listahanan's operations. All of the activities of Listahanan, from preparatory to reports generation phase, are coordinated with them. Courtesy calls and orientations are done to ensure that the LGUs know and understand the project.

At the Preparatory Phase, LGUs assist the project in identifying qualified applicants for the field staff positions. Their local knowledge is also tapped in the development of a deployment plan.

Barangay LGUs are also asked to provide certificate of completion to indicate that the Listahanan has completed the assessment in the community.

The DSWD makes sure that LGUs and Local Chief Executives (LCEs) assist in disseminating information regarding the Validation Phase so that everyone in the community can participate in the process, and have equal chances of being assessed for the Listahanan.

Once the list of poor has been finalized, the DSWD provides the LGUs with the list of poor households as basis for identifying potential beneficiaries of their programs and services, through a Memorandum of Agreement (MOA). The LGUs may also use the database to validate the data that they use for their local development planning.

Listahanan Project Cycle

The following show the four-phase Project Cycle that guides the process of identifying who and where the poor are through the Listahanan.

1 Preparatory Phase

The Preparatory Phase involves the identification of (a) areas to be assessed and (b) data collection strategy appropriate for areas identified. This phase also includes the updating of the Proxy Means Test (PMT) model, enhancement of the Listahanan information technology systems, hiring and training of field staff, and orientation of Local Government Units (LGUs) and other project partners on the implementation of the assessment.

IDENTIFICATION OF AREAS FOR ASSESSMENT

All provinces, municipalities, and cities are covered by the household assessment (Listahanan is implemented nationwide in 17 regions, 80 provinces, 1,491 municipalities, 143 cities, and 42,028 barangays.)
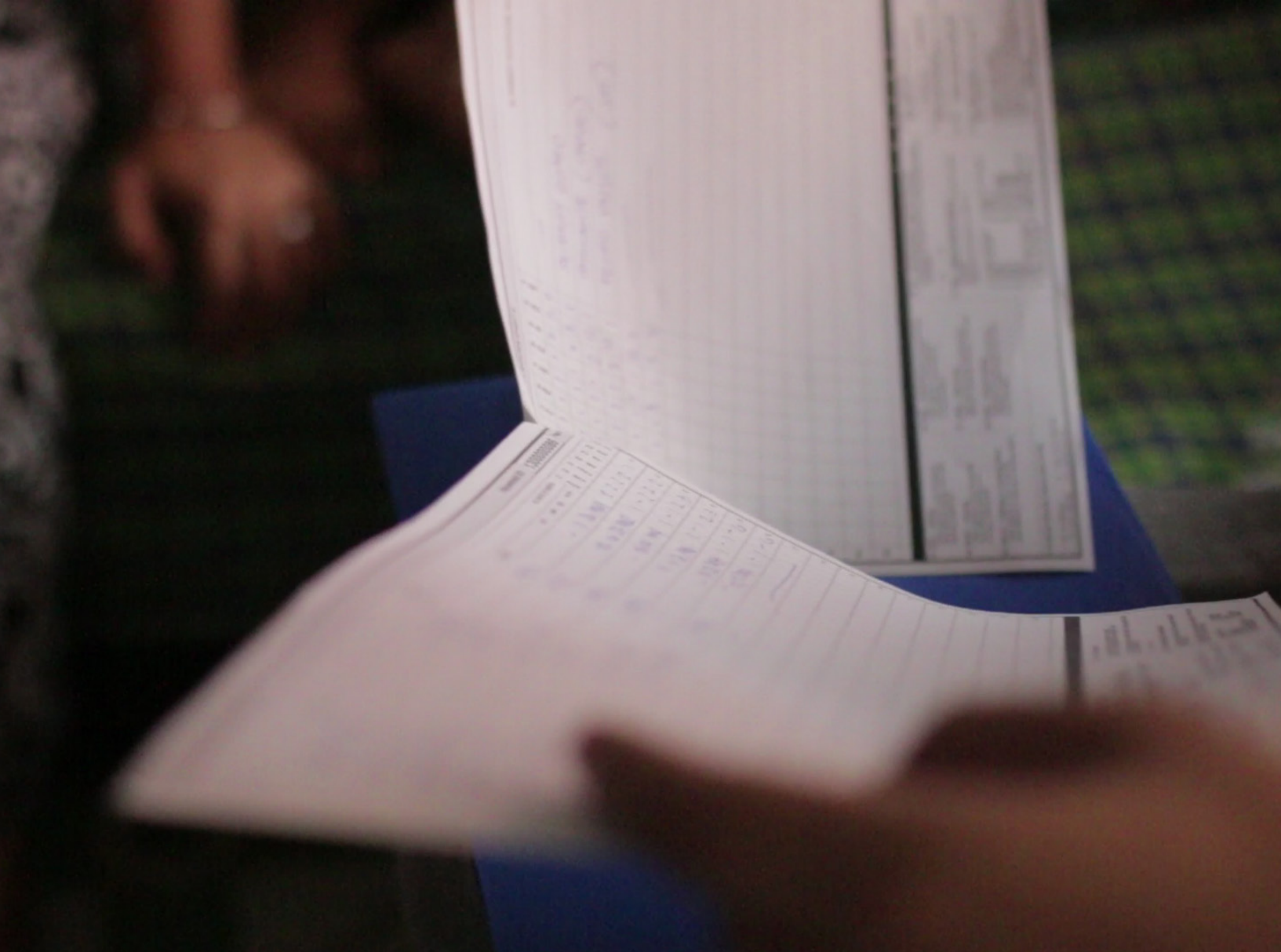
IDENTIFICATION OF DATA COLLECTION STRATEGY

• Rural barangays - Saturation (all families will be interviewed)
• Urban barangays - Saturation in pockets of poverty

2 Data Collection and Analysis Phase

Data collection involves home visits to collect basic information of the household using the Household Assessment Form (HAF).

The information collected from the HAF are used to estimate the per capita income of the household using PMT. The estimated incomes are then compared with the official poverty threshold at the provincial level to identify households living below (poor) or above (non-poor) those thresholds.

The Encoders will enter the information in the HAF directly to the database using an online data entry application. The collected information pass through consistency checking before the HAF is endorsed for PMT processing. After income is estimated, households are classified into poor and non-poor, applying the official provincial poverty threshold.

3 Validation and Finalization Phase

During the Validation Phase, the initial list of poor households is posted in conspicuous places at the barangay for the community to review. Households, who were not visited during the regular enumeration, are given a chance to appeal and be assessed.

A Local Verification Committee (LVC) in each city/municipality shall act on complaints and grievances received. The LVC is composed of Local Chief Executive, the heads of the Local Social Welfare and Development Office (LSWDO) and the Local Planning Office and two (2) other representatives from civil society organizations. After the validation, the official and final list of poor households is shared with data users to serve as their basis in selecting beneficiaries of social protection programs.

4 Reports Generation and Management Phase

After the list of poor households is finalized, the NHTO produces the "profiles of the poor" and disseminates these to NGAs, LGUs, NGOs, academe, and other interest groups.

Upon signing of a memorandum of agreement on data sharing with the Department, the official list is shared with data users to serve as their guide in selecting beneficiaries of their social protection programs.
As stipulated in the data sharing agreement, data users are to provide feedback on how they used the information generated from the Listahanan database and resolve appeals or complaints on beneficiary selection.

What are the different quality control mechanisms employed by the Listahanan to ensure that data collected will not be easily manipulated or influenced?

Below are the mechanisms and strategies that Listahanan integrated in the project cycle to ensure that the process of identifying the poor will not be easily manipulated or influenced:

1 Preparatory Phase

PREPARATORY PHASE

• The Listahanan follows a strict rule in hiring field staff. Only applicants who passed the qualification standards undergo further screening Interviews and written examinations are also conducted as part of the evaluation process. Assessment of their interviewing skills is done during the training.

• To ensure that all target households will be assessed including those in GIDA, the DSWD uses spotmaps of barangays as guide in crafting deployment plans for the field staff.

• To ensure objectivity in the assessment, field staff will not be deployed in barangays where they are residing.

2 Data Collection and Analysis Phase

• Before the respondent affixes his or her signature/thumbmark in the space provided in the HAF, the respondent is requested to review the accomplished HAF for accuracy and completeness.

• The enumerator posts a sticker on the front door of the house as proof that household has been assessed.

• One Area Coordinator is assigned to monitor and supervise five (5) Area Supervisors. One (1) AS supervises at least five (5) Enumerators.

• The Area Supervisor reviews the HAFs submitted by the enumerators under his/her supervision daily. The Area Supervisor also conducts reinterviews of randomly selected households daily to verify the accuracy and completeness of data gathered.

• The NHTO conducts unannounced spot checks to observe the field staff's compliance to the guidelines and protocols of the household assessment.

DATA COLLECTION AND ANALYSIS PHASE

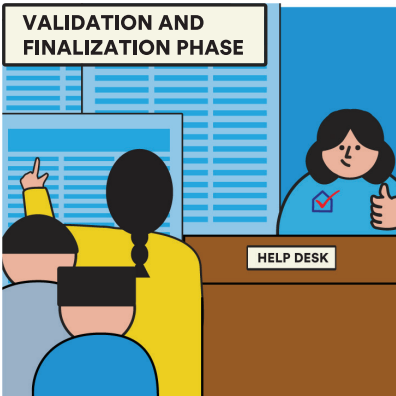Ano po ang pinakamataas na antas na natapos?

During encoding, the information encoded from the HAFs pass through validation routines to check for data inconsistency and incomplete entries. The data entry process is also supervised by the Regional Information Technology Officer (RITO) and/or an Encoding Supervisor

• The poverty status of households are determined based on the results of the PMT model. Variables used by the PMT and their weights are kept confidential. These variables are also observable and cannot be manipulated.

3 Validation and Finalization Phase

• The community is given the opportunity to transparently review the accuracy of the initial list of poor households through the validation phase.

VALIDATION AND FINALIZATION PHASE

HELP DESK

• Those who were not assessed during the regular assessment may file grievance. Appeals and complaints on family information and classification are assessed through formal channels, beginning such as the LVC.

• The Area Supervisor shall make unannounced visits to households whose appeal for assessment have been deemed meritorious. Data gathered will be subjected to the PMT to determine their poverty status.

• During this process, only the RITOs can correct the information.

4 Reports Generation and Management Phase

REPORTS GENERATION AND MANAGEMENT PHASE

• The database is managed through a private network in the DSWD Central Office, hence not accessible through the internet. It has built-in security applications that block external intrusions. Names of poor households are made available only through a Memorandum of Agreement between the Department and the requesting party in compliance with the Data Privacy Act of 2012. This ensures that the data will be used only for purposes agreed upon by both parties.

Proxy Means Test

Proxy Means Test

Proxy Means Test (PMT) is a statistical model that estimates household welfare level based on observable and verifiable proxy indicators of the household's income such as materials in housing structure, household's access to basic services and facilities like water and electricity, and ownership of specific assets, among others.

What are the non-income indicators?

There is no one-size-fits-all in targeting. In countries where actual incomes can be accurately verified, "means testing" is used for targeting. In countries with large informal sector where actual incomes are difficult to verify, PMT has been found to be a good way of targeting the poor. PMT has been proven to be an effective targeting mechanism in countries like Chile, Colombia, Costa Rica, and Mexico where the informal labor market is large. For PMT-based targeting to be effective, data collected needs to be as accurate as possible to reflect the real welfare level of a family. This is why there is a need to put in place checks at various phases of the Listahanan process.

How accurate is PMT in approximating family income?

As in any model-based methodology, the PMT is not perfect, thus it is possible to have errors in approximating family incomes. These errors are often referred to as INCLUSION and EXCLUSION errors.

• INCLUSION ERROR refers to the error when a true non-poor family was classified as poor using the PMT.
• EXCLUSION ERROR refers to the error when a true poor household was classified as non-poor using the PMT.

What can the DSWD do to minimize errors?

• By enhancing the PMT, errors are reduced at the onset.

• DSWD has also put in place tighter supervision controls during the house- to-house data collection process. It will also intensify information campaign and outreach during the validation period to ensure that the data collected are correct and errors are minimized.

• Another way to minimize these errors is through the validation process which allows everyone in the community to contest any incorrect or misreported information.
No targeting system is perfect because classifying the poor involves measuring people's incomes using proxy indicators which are always difficult to collect. This problem is much bigger in countries like the Philippines where about 40% of the population is working in the informal sector and where incomes are not regularly reported.

Why do we need to update or enhance the model used to identify the poor?

Situations can change in a period of three to four years and these changes need to be considered to accurately determine the poor. When new information becomes available, for example, a new census data or nationwide household surveys like the FIES, the NHTO needs to check if the criteria used to identify poor households remain valid. They then enhance the model as necessary. This review needs to be done periodically prior to updating the Listahanan Database.

Based on our recent assessment of the model, the NHTO found other structural socio-economic variable and a more detailed information about a household's source of income is needed for them to better identify the poor and the non-poor.

Data Sharing

For what purposes can I use the Listahanan database?

• Identification of Potential Beneficiaries for Social Assistance Programs. Listahanan can be used as a planning tool. With the available socio-economic information, data users can see which households are in need of a specific intervention. For example, the Listanahan can tell you which households are in need of sanitary toilet facilities or do have access to potable water. The list of poor households can be used to select eligible beneficiaries for specific programs.

• Validation. Listahanan data can also serve as a mechanism for validating data on poverty produced by other sources such as the Community-based Monitoring System (CBMS) or other locally-driven data collection activities, especially when they cover the same areas, and contain similar sets of data for the same time frame.

• Research. Listahanan can also be used as data resource and reference for research and studies.

Why use Listahanan over other sources of poverty data?

EO 867 series of 2010 mandates NGAs to adopt Listahanan as mechanism for identifying poor households who shall be recipients of social protection programs nationwide.

• Listahanan uses the proxy means test (PMT), which has been proven to be an effective targeting mechanism in countries with large informal labor market.

• Listahanan uses a unified set of proxy indicators to identify the poor. This means that the project uses the same indicators for all areas covered by the project. This allows direct comparison among the poverty profiles of different areas.

• Listahanan has nationwide coverage. It can provide national up to household- level data including the household roster.

• Listahanan makes available the database of households AT NO COST. The more programs use the Listahanan, the higher is the value- for-money for this government investment.

What information is available in the Listahanan database?

a) List of Poor Households (HHs) segregated by region, province, city/municipality, and barangay. Names of poor households are only shared to users with existing MOA with the Department.

b) Disaggregated data on Households (list of names requires a MOA with the DSWD)
- • Household identification (i.e. address, length of stay in barangay, and telephone)
- • Household socio-economic information

DATA SHARING PROTOCOL

● Information such as statistics and magnitude can be obtained through the "Profile of the Poor," on the official DSWD webpage or official data requests.

● However, a MOA is required if the information being requested includes the names of household members.

What are the requirements to have a data sharing agreement with DSWD?

1. A memorandum of agreement (MOA)* signed by an authorized representative of the requesting party

2. A letter detailing the data requirements of the requesting party, signed by the Head of requesting party
with attached local council or board resolution authorizing the signatory to enter into a MOA with the DSWD.

Why does data sharing require execution of memorandum of agreement (MOA)?

The Listahanan's data are protected under a Memorandum of Agreement, which ensures that the data will be used only for its intended purposes.

This is also in consonance with the Data Privacy Act of 2012, which intends to protect the integrity and security of personal and sensitive information of the households.

The data sharing agreement stipulates that the data user must:

● Integrate Listahanan in all its social marketing activities -- highlighting or emphasizing the use of the targeting system in identifying beneficiaries of its social protection programs and projects.
● Provide regular feedback on data utilization and resolution on complaints regarding beneficiary eligibility.
● Ensure the confidentiality and use of requested data only for purposes agreed upon.

What national government programs use the Listahanan database?

National government programs that currently provide services to the Listahanan-identified poor households include the Pantawid Pamilyang Pilipino Program or the Philippine conditional cash transfer program, Philhealth Indigent Program, Sustainable Livelihood Program and the Social Pension for Indigent Senior Citizens Program.

Where can one find the Listahanan database of poor households and who can access it?

The database is lodged with the NHTO at the central office of DSWD. The Listahanan database is secured by standard procedures followed by a limited number of authorized DSWD staff who have access to it.

The list of poor families generated from the database, however, can be shared with national government agencies and other stakeholders upon execution of a Memorandum of Agreement (MOA) between DSWD and the data user. Listahanan's data and statistics can also be accessed at the Listahanan website (http://listahanan.dswd.gov.ph).

From the home page, click the "Statistics" tab and log in as a guest (instructions provided on the page). Users may view data down to the barangay level.
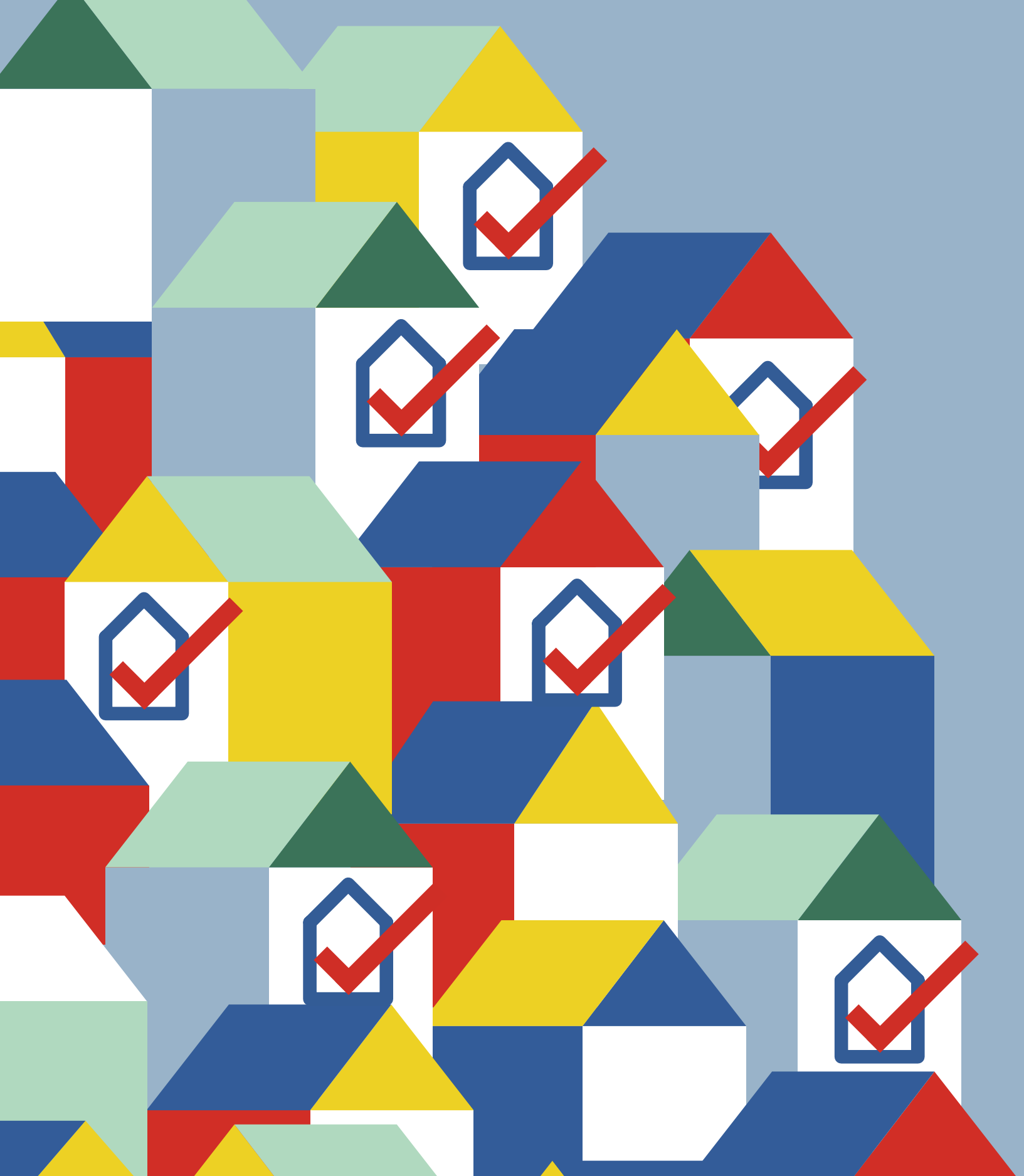
DEFINITION OF TERMS

Area Coordinator	refers to the NHTS Field Staff supervising 5 Area Supervisors while working with the provincial and municipal government officials in the implementation of Listahanan field activities
Area Supervisor	refers to the NHTS Field Staff supervising 5 Enumerators while working with the barangay officials in the implementation of Listahanan field activities
Barangay Verification Team	refers to the barangay committee tasked to lead in the verification of the initial list of poor household in the barangay leading to the endorsement of recommendation to the Local Verification Committee composed of the Barangay chairperson, barangay chairperson for social service, NHTS area supervisor and civil society representative
Civil Society Organizations	refers to the private organizations collaborating with DSWD in the verification of initial list of poor in the barangay level
Data Collection and Analysis Phase	refers to the activities of Listahanan mobilizing of NHTS Field Staff in order to conduct household assessment interviews which shall be subsequently be subjected to estimation of per capita income using the Proxy Means Test
Data Generation and Analysis	refers to the activities of Listahanan aimed producing the final list of poor households which may then be basis in the selection of potential beneficiaries of the social protection program and services
Encoder	refers to the NHTS staff who is tasked to electronically translate manually collected information from the Household Assessment Forms to the Listahanan database
Enumerator	refers to the NHTS Field Staff tasked to conduct household assessment interview to assigned location
Exclusion Errors	refers to the error when a true poor households was classified as non-poor using the proxy means
Household Assessment Form	refers to the document that is being use by the Enumerators in collecting essential information during household assessment interview
Household Respondent	refers to the household member who provided essential information to the Enumerator during the household assessment interview
Inclusion Errors	refers to the error when a true non-poor households was classified as poor using the proxy means test
Listahanan	is an information management system that identifies who and where the poor are nationwide
Local Chief Executive	refers to the duly elected City/Municipal Mayor or duly designated officer by the DILG governing a specific city or municipality
Local Verification Committee	refers to the city/municipal committee tasked to lead in the finalization of the endorsed initial list of poor household from the barangay verification committee

DEFINITION OF TERMS

Memorandum of Agreement	refers to the legal document guiding duties and obligations of the end-user in the utilization of Listahanan Database
National Government Agencies	refers to the agencies within the executive branch that collaborates with DSWD both at the National and Regional level in the implementation of Listahanan
National Household Targeting Office	refers to the office within the DSWD-Central Office that leads the implementation of the Listahanan
National Household Targeting Section	refers to the section within the DSWD-Regional Field Office that leads the implementation of Listahanan
Non-Income Indicators	refers to the indicators present in a household with the intent predicting per capita income
Pockets of Poverty	refers to the geographic areas in the barangay where the cluster of poor households reside
Preparatory Phase	refers to the activities of Listahanan both internal and external tasks with the purpose of organizing finance, human, procedural, and technical expertise ready to take on the data collection
Proxy Means Test	a statistical model that estimates household welfare level based on observable and verifiable proxy indicators of the household's income such as materials in housing structure, household's access to basic services and facilities like water and electricity, and ownership of specific assets, among others
Validation and Finalization Phase	refers to the activities of Listahanan with purpose further ensuring accuracy of data by involving the key community stakeholders which includes households, leaders, and government officials
Verifier	refers to the NHTS staff who is tasked to review electronically translated collected information from the Household Assessment Forms to the Listahanan Database