DSWD
Department of Social Welfare and Development

Listahanan
TALAAN NG PAMILYANG NANGANGAILANGAN

LISTAHANAN INFO KIT

CONTENTS

PRODUCED BY THE NATIONAL HOUSEHOLD TARGETING OFFICE 2015

ACRONYMS

ACRONYM	MEANING
AC	Area Coordinator
AS	Area Supervisor
BCC	Barangay Community Characteristics
CBMS	Community Based Monitoring System
CPH	Census of Population and Housing
CRM	Citizen Relationship Management
DSWD	Department of Social Welfare and Development
EO	Executive Order
FAF	Family Assessment Form
FIES	Family Income and Expenditure Survey
LCE	Local Chief Executive
LFS	Labor Force Survey
LGU	Local Government Unit
LVC	Local Verification Committee
MOA	Memorandum of Agreement
NCR	National Capital Region
NGA	National Government Agency
NGO	Non-Government Organization
NHTO	National Household Targeting Office
NHTS-PR	National Household Targeting System for Poverty Reduction
NHTU	National Household Targeting Unit
NPT	Near-Poor Threshold
NSCB	National Statistical Coordination Board
NSO	National Statistics Office
NTAG	National Technical Advisory Group
NTSC	National Targeting System Committee
PCUP	Philippine Commission for the Urban Poor
PMT	Proxy Means Test
PSA	Philippine Statistics Authority
RITO	Regional Information Technology Officer
SWS	Social Weather Station
TPT	Total Poverty Threshold

INTRODUCTION TO LISTAHANAN

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 families 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

▶ Improve the design of social protection programs to maximize the benefit of the poor.

▶ Minimize wastage of resources by ensuring the only those who are deserving benefit from social protection programs

▶ Facilitate sharing of high quality database to public and private social protection stakeholders

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.

Who are involved in targeting?

The structure below represents the work relationships of implementing offices at the national and regional levels and their coordination link. Below is the hierarchical level of authority as well as accountability of each stakeholder.

NATIONAL TECHNICAL ADVISORY GROUP (NTAG) ---- **NATIONAL HOUSEHOLD TARGETING OFFICE (NHTO)** ---- **NATIONAL TARGETING SYSTEM COMMITTEE (NTSC)**

NATIONAL HOUSEHOLD TARGETING UNIT (NHTU)

FIELD STAFF*
(Area Supervisors, Area Coordinators, Enumerators, Encoders, and Verifiers)
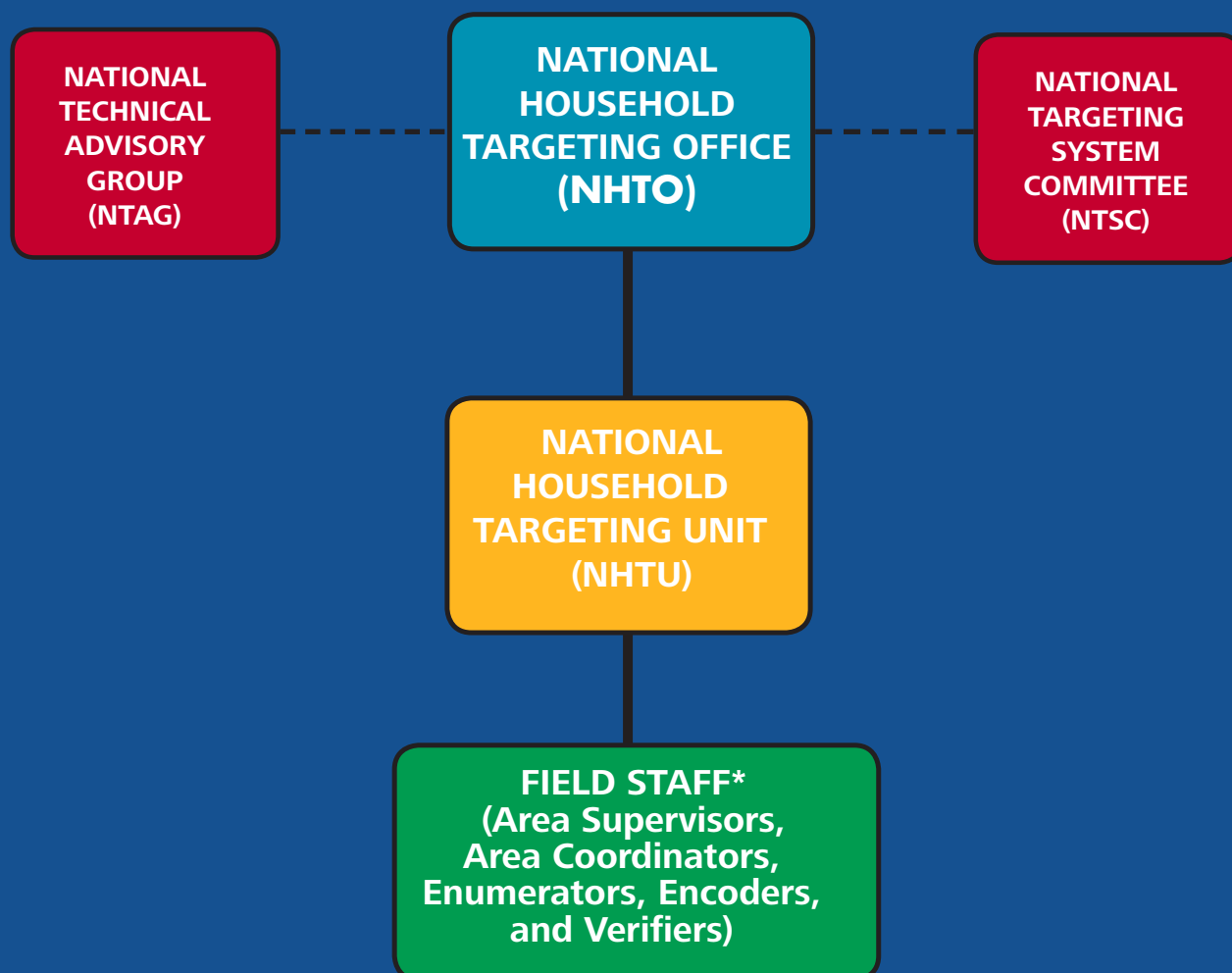
*Field staff are hired only for a short-term engagement during assessments

The DSWD spearheads the process of identifying the poor through the National Household Targeting Office (NHTO). National Household Targeting Units (NHTU) are also organized in all DSWD Field Offices to monitor more closely the operations on the ground.

During assessments, the NHTU hires, trains and supervises the field staff composed of coordinators, supervisors, 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.

Meanwhile, the National Targeting System Committee (NTSC) consists of representatives from different operational clusters within the DSWD Central Office that advise NHTO on specific operational concerns of project implementation.

DSWD Enumerator interviews the family head inside their house.

Why are family 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 some of the government's major 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 NTAG, the NHTO has been getting technical advice from them on how to conduct data collection properly.

• 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 household 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 and accountability structure to ensure that information collected and stored in its database are correct and fraud-free.

Tight 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 good quality.

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

The LGUs perform a vital role in ensuring the success of Listahanan's operations. All 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 scouting 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 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 with the results of validation, the DSWD enters into an agreement with the LGUs, providing them with the final list of poor as basis for identifying potential beneficiaries of their programs and services.
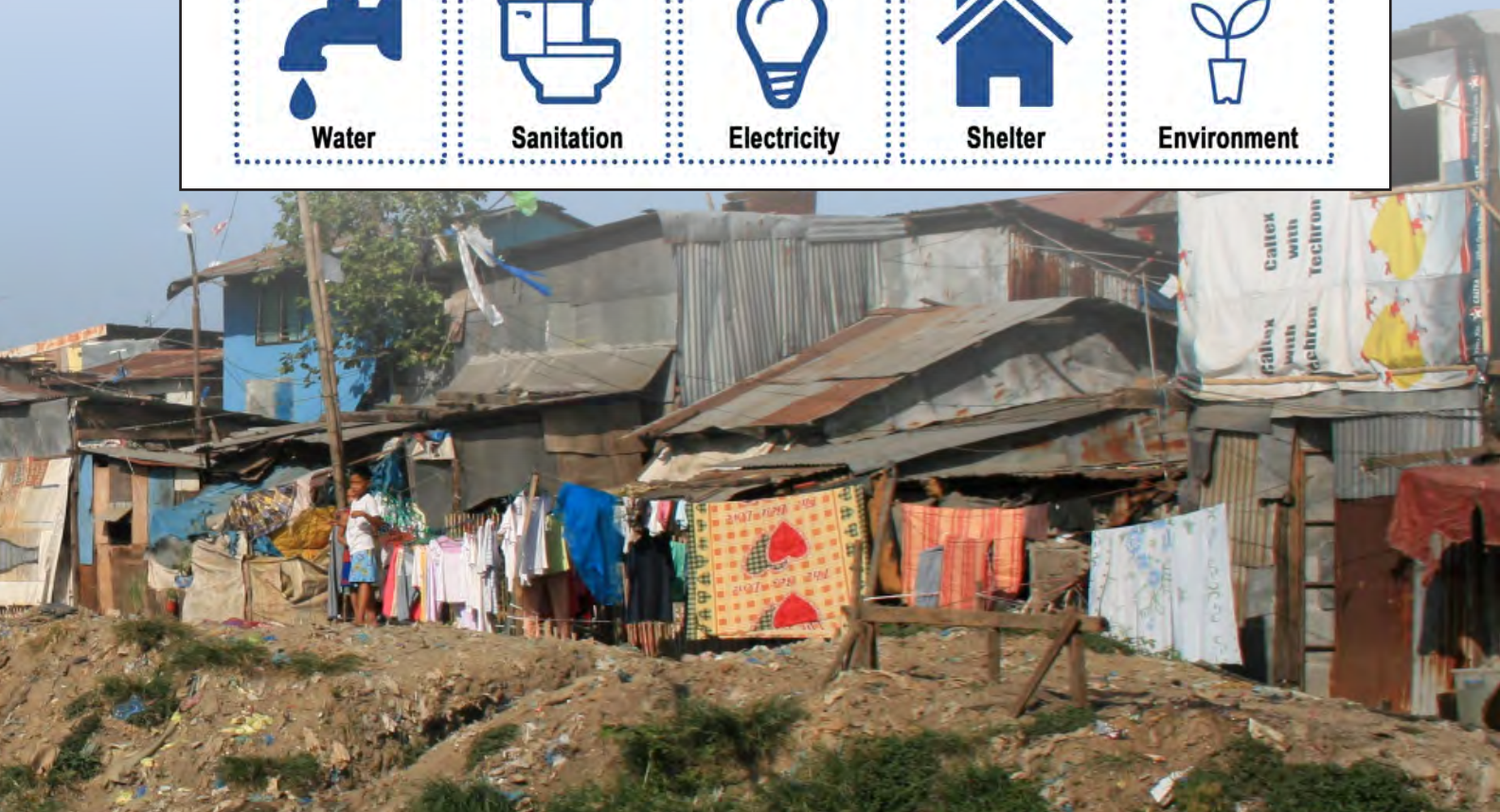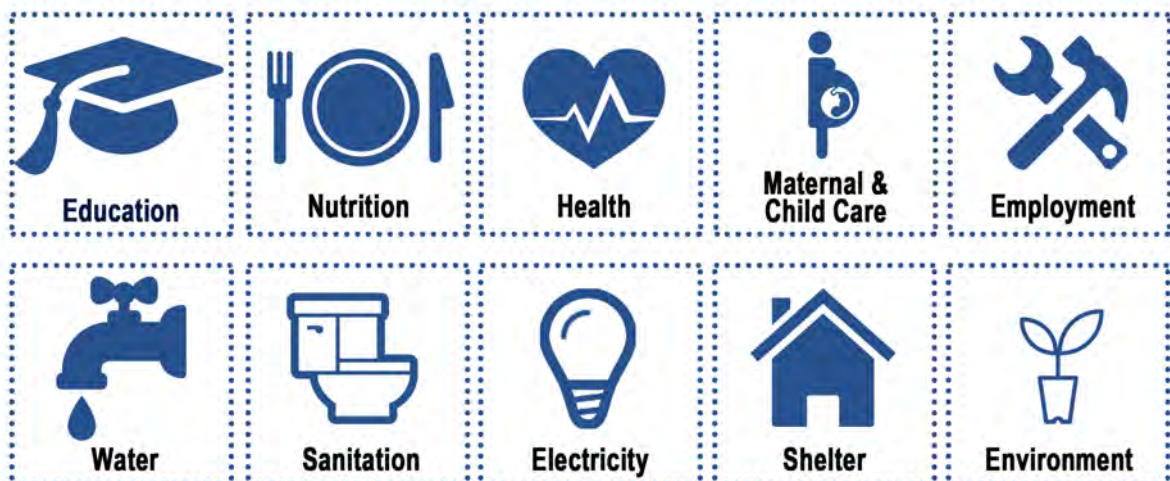
• LGUs may also use the database to validate the data that they use for their local development planning.
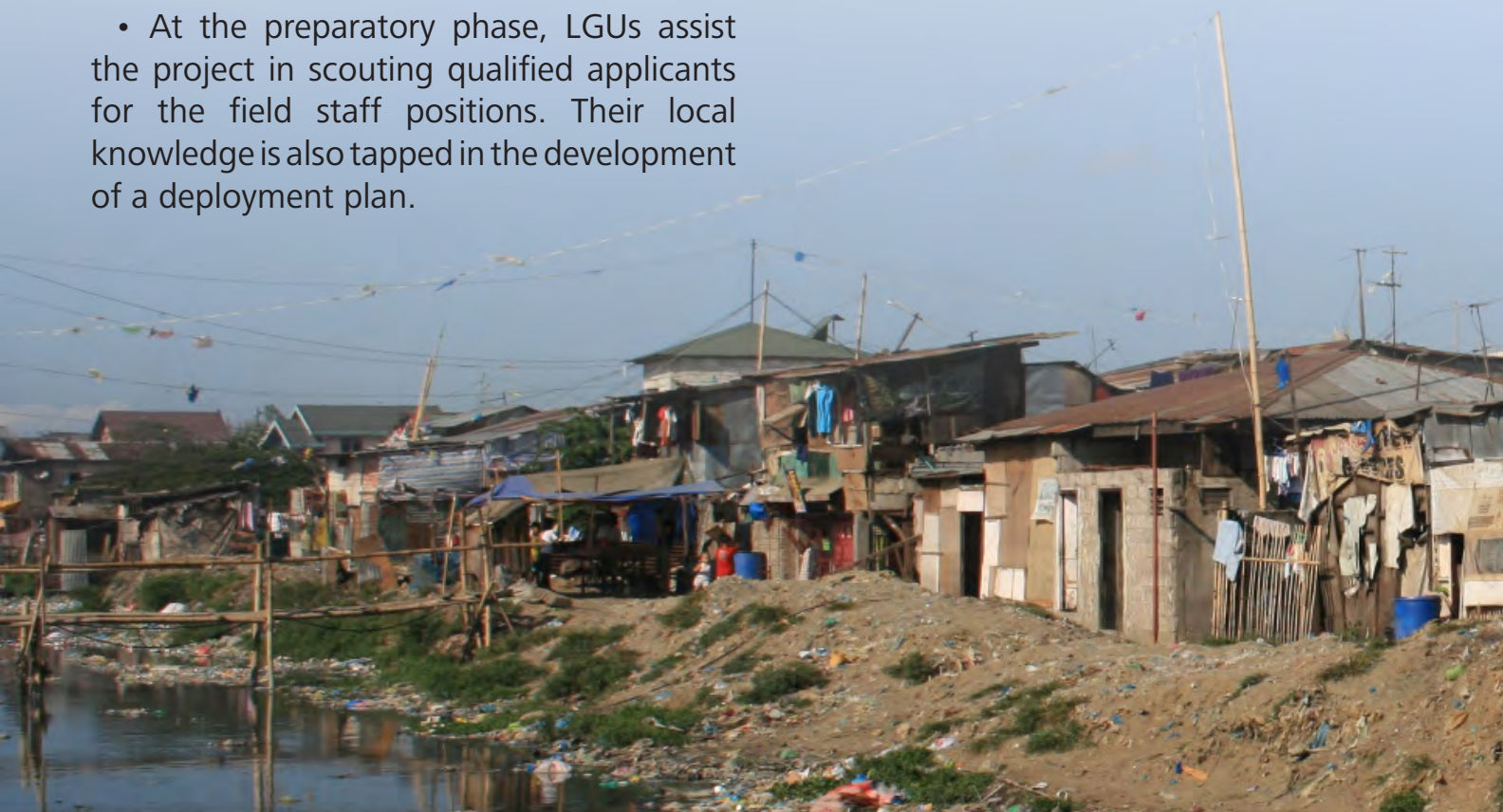
Who benefits from Listahanan?

The poor ultimately benefits from the use of Listahanan. The database of poor families is used by public and private agencies that deliver social protection programs and services. Everyone can access the Listahanan for purposes that aim to assist the poor.

To date, more than 1,000 Local Goverment Units (LGUs), Non-Goverment Agencies (NGAs) and Non-Goverment Organizations (NGOs) use the database to provide services to the Listahanan-identified poor. They implement programs that are related to:

Education	Nutrition	Health	Maternal & Child Care	Employment
Water	Sanitation	Electricity	Shelter	Environment

LISTAHANAN PROJECT CYCLE

How is the family assessment conducted?

First Household Assessment (2009-2011)

In the first nationwide household assessment conducted in 2009 to 2011, the household targeting process covered two (2) stages:
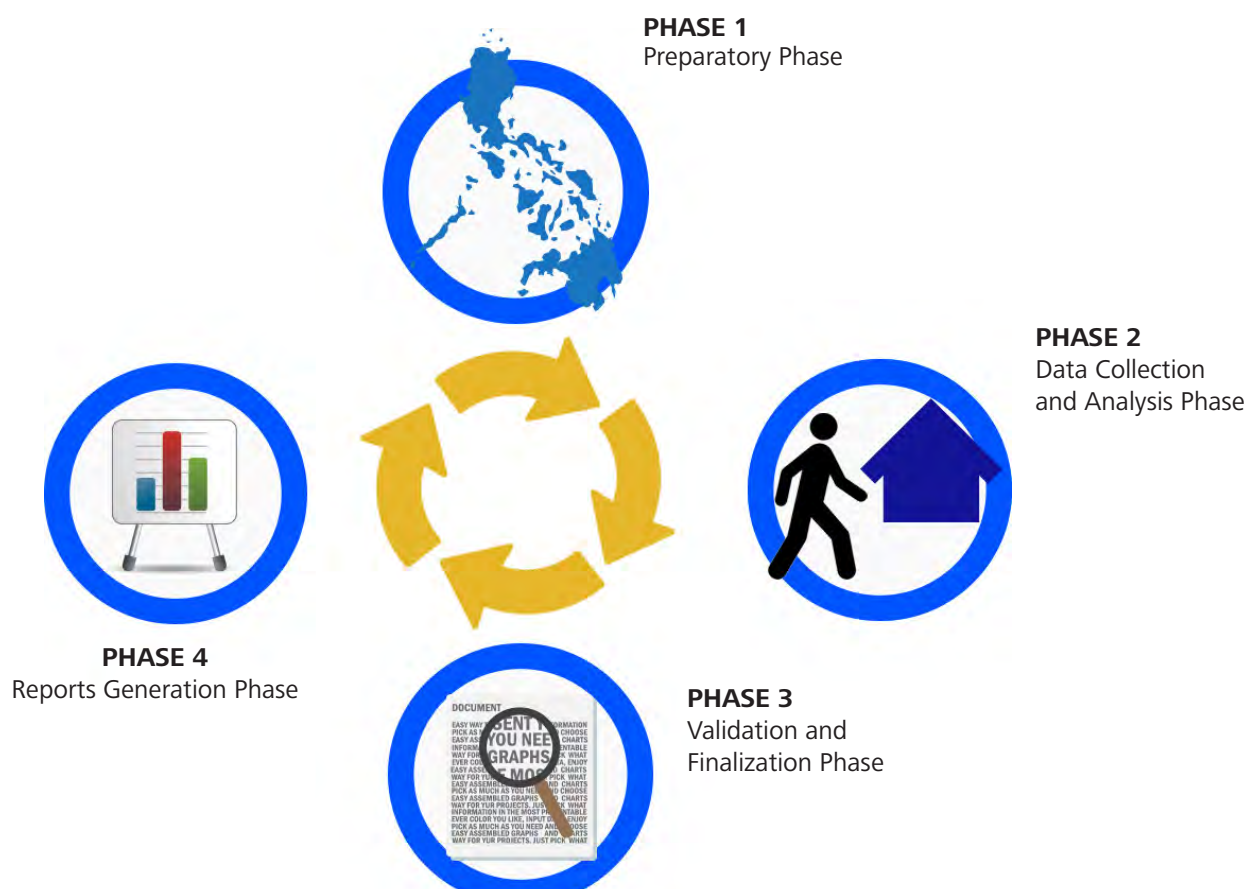
The first stage involved the identification of enumeration strategy for provinces and municipalities that were covered. The geographic selection of provinces, municipalities, and cities that were prioritized for enumeration was guided by the 2006 poverty estimates from the FIES, 2003 SAEs, and data from the Presidential Commission for the Urban Poor (PCUP) on pockets of poverty.

The second stage involved the interview of households using a two-page Household Assessment Form (HAF) that was designed to collect data on household composition, education, housing conditions, and access to basic services.

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

PROJECT CYCLE OVERVIEW

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

PHASE 1
Preparatory Phase

PHASE 2
Data Collection
and Analysis Phase

PHASE 3
Validation and
Finalization Phase

PHASE 4
Reports Generation Phase

In terms of geographic coverage, all provinces, municipalities, and cities were covered by the household assessment that was conducted in phases. Prioritization and roll out was done based on the NSCB classification of provinces / municipalities / cities with poverty incidence data as reflected below:

PHASE	COVERAGE	NUMBER OF HH	% OF HH	SURVERY METHOD		DURATION (MO.)
				Rural	Urban	
PHASE 1	20 poorest provinces	1,900,141	40%	Total Enumeration* 223 municipalities	Total Enumeration 83 municipalities	6
	Municipalities with Poverty incidence higher than 60% in provinces not included in the 20 poorest.	1,317,492		Total Enumeration 83 municipalities		
	Highly Urbanized Cities	1,120,797			Total Enumeration in pockets poverty & on-demand application in 45 cities	
PHASE 2	Municipalities with Poverty incidence between 50% and less than 60%	676,867	16%	Total Enumeration or 100% of households will be surveyed 100 municipalities		6
	Component Cities	1,084,393			Total Enumeration in pockets poverty & on-demand application in 83 cities	
PHASE 3	Municipalities with Poverty incidence of less than 50%	4,793,249	44%	Total Enumeration in pockets poverty & on-demand application in 917municipalities		12
TOTAL		10,909,456	100%			

Second Assessment

The second assessment is also guided by the four-phase project cycle in the first assessment but has longer time for the conduct of validation activities. Details of the project cycle for the second assessment are discussed below:

The Preparatory Phase in the 2nd assessment involves (a) identification areas to be assessed and (b) data collection strategy appropriate for areas identified.

1. Preparatory Phase

The Preparatory Phase in the 2nd assessment involves (a) identification of areas to be assessed and (b) data collection strategy appropriate for areas identified.

STEP 1

IDENTIFICATION OF AREAS FOR ASSESSMENT
- All provinces, municipalities, and cities are covered by the family assessment *(Listahanan is implemented nationwide in 17 regions, 80 provinces, 1,491 municipalities, 143 cities, and 42,028 barangays.)*

STEP 2
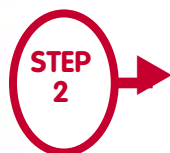
IDENTIFICATION OF DATA COLLECTION STRATEGY
• **Rural barangays -** Saturation *(all families will be interviewed)*
• **Urban barangays -** Saturation in pockets of poverty and longer time for validation elsewhere

Also included in this phase are updating of the PMT model, enhancement of the Listahanan information technology systems, hiring and training of field staff, and orientation of Local Government Unit (LGUs) and other project partners on the implementation of the assessment.

What are pockets of poverty?

Pockets of poverty refer to areas in the barangay where clusters of poor families reside.

2. DATA COLLECTION AND ANALYSIS PHASE

Data Collection involves home visits to collect basic information of family members using the Family Assessment Form (FAF) and Barangay Community/Characteristics (BCC) Form.

What is a Family Assessment Form or FAF?

*T*he FAF is a four-page questionnaire with fifty-two (52) items that collect pertinent information about the welfare level of a family. Indicators collected in the FAF are based on official government surveys and censuses such as the 2009 Family Income and Expenditure Survey (FIES), Labor Force Survey (LFS), and the **2007 Census of Population and Housing (CPH)**

STEP 3

Listahanan uses either of the two modes in gathering data: paper-and-pen or mobile device. The decision to use which mode will depend on the areas to be assessed.
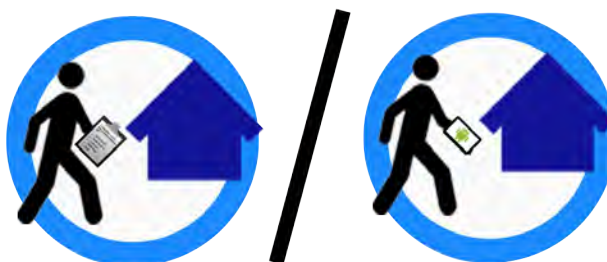
What is the Barangay Community Characteristics Form?

The Barangay Community Characteristic or BCC Form is a single-page questionnaire that collects community information such as street patterns and establishments. It is patterned after the Form 5 or Barangay Schedule of the 2007 Census Population and Housing (CPH) of the Philippine Statistical Authority (PSA).

STEP 4

Information in the FAFs are encoded into the database for proxy means test (PMT) processing. The approximated income of a family is compared with the official provincial poverty thresholds to determine the family's poverty status. Families with income below the poverty threshold are then classified as poor.
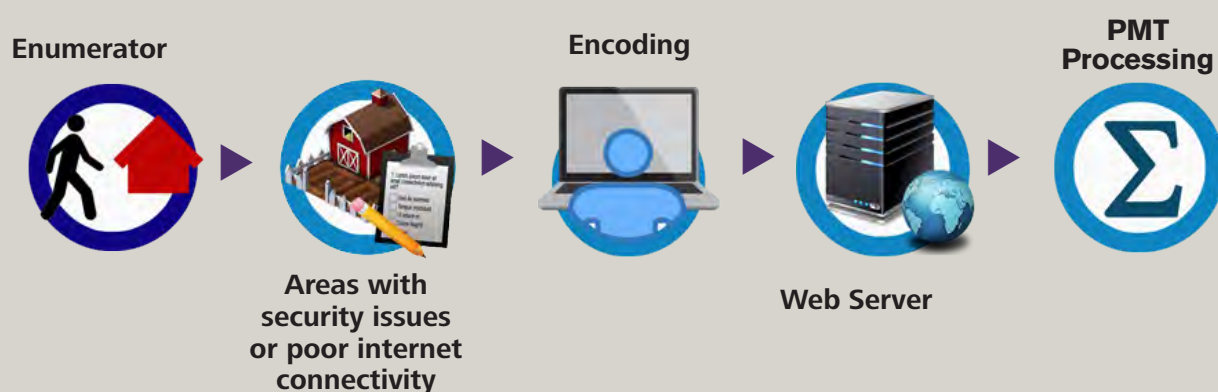
PAPER-AND-PEN DATA COLLECTION

In this enumeration mode, the enumerator interviews the family using FAF in paper form. After the enumerator conducts the interview, the FAF is reviewed by the area supervisor. Once certified as complete, the FAF is endorsed by the area supervisors to the encoders at the Field Office.

The Encoders will enter the information in the FAF directly to the database using an online data entry application. The collected information pass through consistency checking before the FAF is endorsed for PMT processing.

After income is estimated, families are classified into poor and non-poor, applying the official provincial poverty.

Enumerator → **Areas with security issues or poor internet connectivity** → **Encoding** → **Web Server** → **PMT Processing**

MOBILE DATA COLLECTION

Data collection in areas with good internet connectivity will be undertaken using android tablets with a FAF data entry application installed in them.

The enumerator visits the family and conducts interview using an Android device. An autocorrect feature installed in the FAF data entry application notifies the enumerator if there are incomplete or inconsistent entries. Only completed data are sent to the server through the internet. The server receives the submissions of the enumerator and stores them in the central database system of the NHTO for furthing validation checks.

Enumerator → **(Areas with good internet connectivity) MobileDevice** → **Mobile Server** → **PMT Processing**
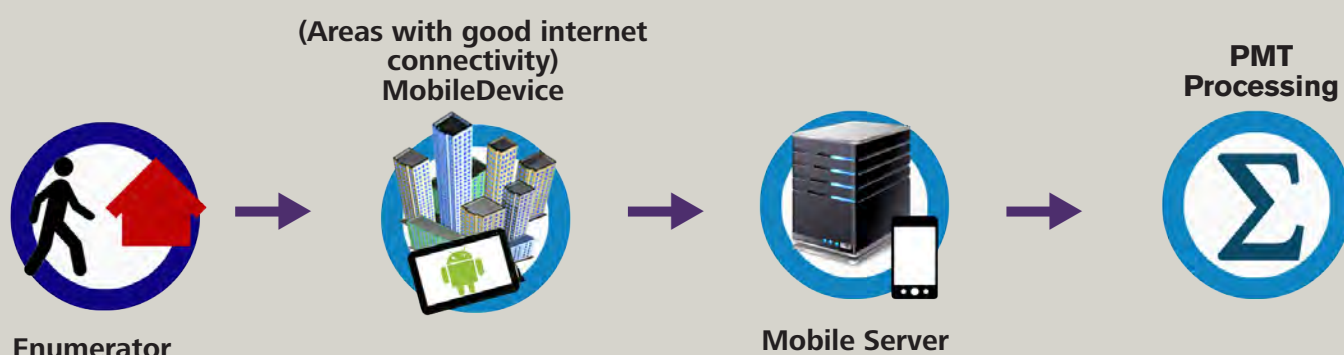
3. Validation and Finalization Phase

During validation phase, the initial list of poor families is posted in conspicuous places at the barangay for the community to scrutinize. Families, who were not visited during the regular enumeration, are given a chance to appeal and be assessed.

A Local Verification Committee (LVC) is formed in each municipality to act on complaints and grievances received.

After the validation, the official and final list of poor families is shared with data users to serve as their basis in selecting beneficiaries of social protection programs.

STEP 5 → The initial list of poor families is posted for validation of the community. Queries and complaints are received by a representative of NHTO on the ground

STEP 6 → The LVC, whose members include the Local Chief Executive, the heads of the Local Social Welfare and Development Office and the Local Planning Office and two other representatives of private organizations, resolve complaints/ appeals received at their level or recommend action to the NHTO Central Office, if necessary.

STEP 7 → The final list of poor families is established after the validation process.

4. Report Generation Phase

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

STEP 8 → THE NATIONAL AND REGIONAL PROFILES OF THE POOR are generated using pertinent information in the Listahanan Database. These are shared with National Government Agencies (NGAs), Non-Governmental Organizations (NGOs), Local Government Units (LGUs), and other social protection stakeholders.

STEP 9 → 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.

STEP 10 → 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.

Feedback on data utilization is collected from data users as well as resolutions to complaints and appeals 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:

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 families will be assessed, the DSWD uses spotmaps of barangays as guide in crafting deployment plans for the field staff. Families residing in geographically isolated and disadvantaged areas (GIDA) are assessed first.

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

Data Collection and Analysis Phase

• As soon as the interview is completed and before the respondent affixes his or her signature/thumbmark in the space provided in the FAF, the respondent is requested to review the accomplished FAF for accuracy and completeness.

• In mobile data collection, the mobile data entry application that enumerators use does not allow FAFs with incomplete and inconsistent information to be stored in the device or transmitted to the database.

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

• The AS reviews 16 FAFs submitted by enumerators per day. The AS also conducts five (5) reinterviews of randomly selected households daily to verify the accuracy and completeness of data gathered.

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

• The NHTO conducts unannounced spotchecks to observe he field staff's compliance to the guidelines and protocols of the family assessment.

• During encoding, the information encoded from the FAFspass through validation routines that check for data inconsistency and incomplete entries. The data entry process is also supervised by the Regional Information Technology Officer (RITO).

• The poverty status of families are determined based on the results of the Proxy Means Test (PMT) model.

• Variables used by the PMT and their weights are kept confidential. These variables are also observable/verifiable and not easily manipulated.

Validation and Finalization Phase

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

• Those who were not assessed during the regular assessment may appeal for assessment. Appeals and complaints on family information and classification are assessed through formal channels, beginning with the LVC.

• The AS shall make unannounced visit to families whose appeal for assessment have been granted. Data gathered will be subjected to the PMT to determine their correct socio-economic status.

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

Reports Generation and Data Sharing 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 families are made available only through a MOA between the department and the requesting party. This ensures that the data will be used only for purposes agreed upon by both parties.
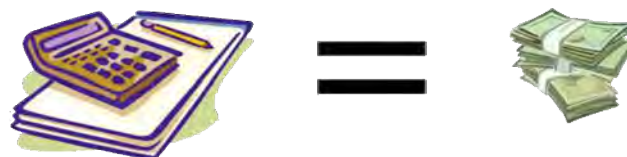
PROXY MEANS TEST

What is Proxy Means Test (PMT)?

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

What are the non-income indicators?

It can be **any household information** that can be used to predict income,

such as:

- Household Assets
- Occupation/Livelihood
- Educational Attainment
- Housing Condition
- Access to Basic Services
- Community Characterisitcs
(Street patterns, establishments, etc.)

car wash P50 only

Why PMT?

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.

What are the differences between the old and new PMT models?

AREAS FOR COMPARISON	2009 MODEL	2013 MODEL
Submodels	1 model for urban areas 1 model for rural areas	1 model for NCR 1 model for rest of the Philippines
Layers	One layer is used to approximate income	First layer to approximate income. Second layer to minimize errors.
Data Sources	2003 LFS and FIES	2009 LFS, FIES and 2007 CPH
Basis for Identifying Poor Families	Point estimate of the predicted per capita income versus official poverty threshold	Lower bound of the estimated income range versus official poverty threshold
Reference Population to Estimate Errors	All poor households in the official poverty surveys (LFS and FIES)	Bottom 40% of the population in the official poverty surveys (LFS and FIES)

Listahanan previously had urban and rural models. Why do we need to shift to NCR and Rest of the Philippines models?

This was done to better reflect the characteristics of the poor in the PMT. Characteristics of the poor at the National Capital Region (NCR) differ greatly from the rest of the country. For example, in areas outside NCR, a family that lives in a place that is made of sturdy materials is very likely to own that house and may not be classified as non-poor. While in NCR, families who live in houses built using sturdy materials may be poor, especially those in resettlement sites. Applying the same urban model to NCR results to higher errors in misclassifying poor and non-poor households.

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 that a more detailed information about a family's source of income is needed for them to better identify the poor and the non-poor.

DATA SHARING AND DATA SETS

What information is available in the Listahanan database?

a) List of Poor Families/Households (HHs) segregated by Region, Province, City/Municipality and Barangay. Names of poor families are only shared to users with existing MOA with the department.

b) Disaggregated data on Families (list of names requires a MOA with the DSWD)

• Family Identification (i.e. Address, length of stay in barangay, and telephone)

• Family Socio-economic information

• Family Roster

For what purposes can I use the Listahanan database?

The database can be used for the following purposes:

• Identificiation 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 families or communities 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 and non-poor households and their profile 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 52 income-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 family roster.

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

Where can one find the Listahanan database of poor families 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.

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 family or 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.

*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 is intended to protect the integrity and security of personal data in both the private and public sectors.

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 benefit the Listahanan-identified poor 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.

2ND NATIONWIDE ASSESSMENT

Why do we need to conduct the 2nd Round of Assessment?

• Updating the Listahanan database is in compliance with the provisions of Section 2 of EO 867 series of 2010, that is, the household/family assessments should be done every four years. On this premise, the project has already reached five years since starting its implementation in 2009. Hence, updating the database is necessary.

• The 2nd round of assessment will allow the Department to track changes or get updates on the status of families identified in the first assessment as well as identify "new" families.

• A more updated database will provide NGAs a more relevant database of poor families that will serve as potential beneficiaries of social protection programs. This updated database would also help the government in developing informed policies and delivering targeted program interventions to/for the poor

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If the Listahanan is updated only every 4 years, how can it correctly reflect the welfare condition of households in between updating periods?

The Listahanan identifies poor families based on household characteristics that are stable over time. Examples are educational attainment of the household members, ownership of house and lot, street patterns, and presence of commercial establishments in the community which indicate economic opportunities available, among others.

All these do not change easily over time. The system approximates longer-term welfare levels of households. This means we do not expect that the new PMT will reclassify households from being poor to non-poor, or vice versa, by small changes in their characteristics.

In times of crisis situations or disasters, however, we do case-to-case updating of the Listahanan database of affected areas to identify those who need assistance. Future enhancements of the system will look into the feasibility of how to update the Listahanan database more frequently to make sure that we have the information ready to respond to urgent and emerging needs.

Planned Coverage for the 2nd Nationwide Household Assessment

Listahanan is planned to cover **15.3 million** households in all rural areas and pockets of poverty in urban areas

Region I: 928,633

Region II: 622,659

CAR: 259,248

Region III: 1,451,248

Region IV-A: 1,534,464

NCR: 1,267,292

Region IV-B: 591,699

Region 6: 1,323,778

Region V: 1,087,720

Region VIII: 822,305

Region VII: 1,016,269

CARAGA - 494,372

Region X: 793,989

Region IX: 688,495

Region XI - 793,770

Region XII - 775,335

ARMM - 864,824

How many households will be assessed in the 2nd round of assessment?

The Listahanan aims to assess 15.3 million households in its 2nd round of assessment. This target is based on the results of the 2010 CPH and the official poverty statistics indicating incidences of LGUs.

The target coverage is also based on the classification of barangays, that is, rural and urban. The distinction of the coverage between urban and rural is based on the Listahanan data that most of the poor households come from the rural barangays. This means that enumeration in rural barangays will saturate all households, while the enumeration in urban barangays shall use the approach of "pockets of poverty"; that is, identifying and mapping out poor segments in each urban barangays.

After data collection, validation will happen both in urban and rural areas for households to appeal and request to be assessed.

How long will it be conducted?

The 2nd Assessment is to be conducted in the span of 11 months, following this timeline:

PHASE	ACTIVITY	MONTH										
		1	2	3	4	5	6	7	8	9	10	11
Preparation	Hiring, Training of Field Staff and Procurement of Equipment	■	■	■								
Data Collection and Analysis	Data Collection (Enumeration and Encoding of Paper-Based Data)				■	■	■					
	Data Processing							■				
Validation and Finalization	Data Validation								■	■		
	Data Finalization										■	■

How much will be spent for the 2nd assessment?

Major cost items constituting the potential expenditure are found mostly during contracting field workers (56.7%), training (13%), transportation (9.2%) as well as procurement of IT equipment such as tablets and laptops for ease of data entry (12.2%). These cost items are computed based on prevailing service rates and product cost as well as on ratio of workers -- to workload, to training needs, to equipment, and to time requirements.

8.9%
9.2%
12.2%
13%
56.7%
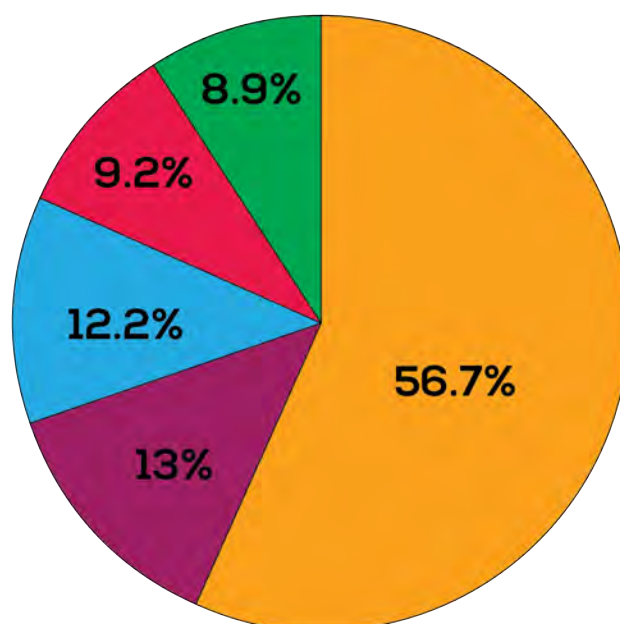
IDENTIFYING THE NEAR-POOR

In 2014, the DSWD initiated a study that will serve as the foundation of a policy that will define the near-poor and set a standard criteria for identifying them. Through this and the Listahanan, the department will be able to provide focused intervention to both the poor and the near-poor; thus, address the persisting poverty.

1. Who are the Near-Poor?

• The near-poor households are those with per capita income above the official total poverty threshold at a given year, but at high risk of subsequently falling into poverty because they have little or no buffer against economic, health and environmental shocks.
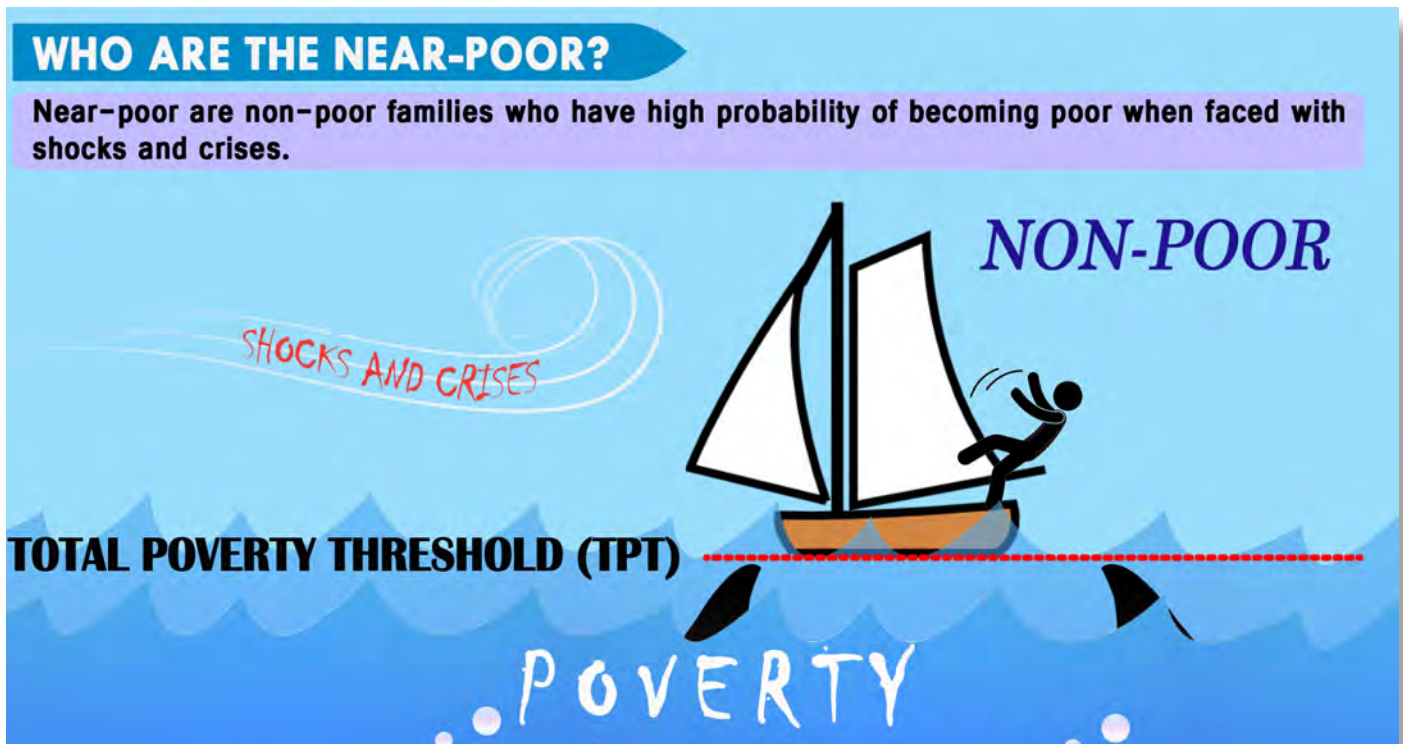
2. Why did DSWD come up with Near-Poor Policy?

• It is consistent with the department's mandate to develop, implement and coordinate social protection and poverty reduction programs and services for and with the poor, vulnerable and disadvantaged. The near-poor is a sector that encompasses the vulnerable and disadvantaged.

• Having an official definition and threshold for the near-poor as part of the national near-poor policy will allow the department and other implementers of social protection programs to target members of the near-poor sector for social protection purposes.

• In addition, there is also a concern for inclusiveness. Near-poor households who are likely to be vulnerable and disadvantaged have often been excluded from the social protection programs because they are slightly above the poverty line.

3. Why is it important for the government to identify the near-poor?

• Near-poverty is prevalent. Based on the 2004-2010 Annual Poverty Indicator Survey (APIS), 38.6 percent of the total households surveyed are considered cyclical poor or their status changes periodically from being in and out of poverty.

• Once the government is able to identify the near-poor, it will be able to address issues and concerns specific to this segment of non-poor households who are vulnerable or at high risk of becoming poor due to unexpected economic shocks and disasters. These interventions will prevent the near-poor from falling back into poverty.

4. How did the DSWD come up with that estimate?

• The 1.1 threshold over the poverty line was recommended considering the government's limited resources. Starting modestly at 1.1 would ensure near-poor families with average to high risk levels will be prioritized by the government's near poor programs.

• Cut-off points for the near-poor were estimated at 1.28 above the poverty threshold. This near-poor threshold, known also as the knife-edge, was estimated with consideration to the level of household income that has at least 50% risk of subsequent poverty. Households located in the 1.37 over the total poverty threshold, known also as the "balik-balik poor", considers households who move in and out of poverty during a given time period.

5. How will DSWD identify the Near Poor using the Near-Poor Threshold?

• The DSWD will use the same variables/indicators that Listahanan use to identify the poor. These are demographic characteristics, housing conditions, access to basic sectors, ownership of assets, and education, among other non-income variables sourced from official poverty surveys such as the Family Income and Expenditure Survey (FIES), the Labor Force Survey (LFS) and the Census of Population and Housing (CPH).

• The DSWD will use the proxy means test to approximate family's per capita income. After income is estimated, the DSWD will apply the Near-Poor Threshold. Families with per capita income between the Total Poverty Threshold (P20,143) and Near-Poor Threshold will be classified as near poor.

6. What will the DSWD do with data on the Near-Poor?

• The DSWD will use it as basis for identifying beneficiaries for programs and services intended for the Near-Poor.

• It will also be shared with other national government agencies and other social protection stakeholders to be used for the same purpose.

7. What is the difference between Near-Poor, Poor and Non Poor?

• Poor households are those with per capita income below the official poverty threshold.

• Non-Poor households are those with per capita income above the official poverty threshold

• Near-Poor households are considered households with per capita income between the near-Poor Threshold and the official poverty threshold.

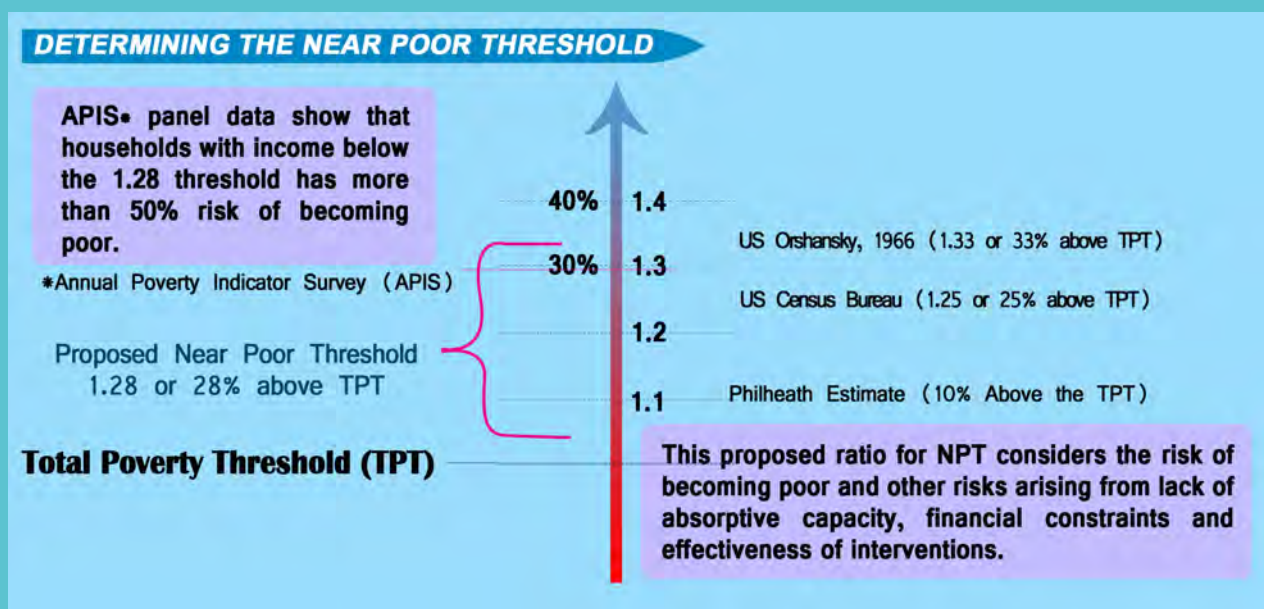## 8. Will the Government be able to provide assistance to all near-poor households?

• Government resources are limited, thus the need to give priority to near-poor households with higher risk of subsequent poverty in the selection of beneficiaries for near-poor programs.

• A risk equation will be used to generate the "predicted" risk for each of the near-poor households in the Listahanan database. This equation will allow the DSWD to rank near-poor households based on their risk levels. Those who have the highest risk of becoming poor will be prioritized for near-poor programs. It can be noted that there are households with same income but have different risk levels.

9. What is the proposed near poor threshold?

• The proposed near-poor thresholds are 1.1 or 10%, 1.28 or 28%, and 1.37 or 37% above the poverty threshold.

• If the official annual per capita poverty threshold based on 2009 values is P16,841.00, then the percentages of 1.1, 1.28 and 1.38 estimates are equivalent to P18,525.00, P21,556.48, and P23,072.1, respectively.

DETERMINING THE NEAR POOR THRESHOLD

APIS• panel data show that households with income below the 1.28 threshold has more than 50% risk of becoming poor.

*Annual Poverty Indicator Survey (APIS)

Proposed Near Poor Threshold 1.28 or 28% above TPT

Total Poverty Threshold (TPT)

40% — 1.4

30% — 1.3

— 1.2

— 1.1

US Orshansky, 1966 (1.33 or 33% above TPT)

US Census Bureau (1.25 or 25% above TPT)

Philheath Estimate (10% Above the TPT)

This proposed ratio for NPT considers the risk of becoming poor and other risks arising from lack of absorptive capacity, financial constraints and effectiveness of interventions.

Targeting System Across Countries

KEY ELEMENTS OF HOUSEHOLD TARGETING

Country/Targeting System	**United States**	**Brazil**	**Chile**
	US Registries	Cadastro Unico	Ficha de Protecció Social
Institutional Responsibility			
Design	Decentralized	Centralized	Centralized
Implementation	Decentralized	Decentralized	Decentralized
Database Management	Decentralized	Centralized	Centralized
Year Launched		2001	1980
Data Collection Process			
Data Collection Strategy	On-demand application (ODA)	Quota-based Survey	Mostly survey*,
Location of Interview	Welfare Office (some counties require home visit)	Varies by municipality (home visits, registration in schools, health posts, markets and other municipal sites)	Home visit
Managing Unified Household Information Registries			
Nationwide Coverage?	No, duplicate registrations are a problem	Nationwide	Nationwide
Total Country Population		176.6 M	17 M (2010)
Database Size	Varies by state Programs range from 6-42 million beneficiaries (more registered)	10.3 M households 41.4 M individuals (Dec. 2004)	3.5 M households 11 M individuals (2010)

	Colombia	Mexico	Costa Rica	Philippines
on	Sistema de Selección de Beneficiarios (SISBEN)	Padron Unico de Beneficiarios	Sistema de Información de la Población Objetivo (SIPO)	National Household Targeting System for Poverty Reduction (NHTSPR)
	Centralized	Centralized	Centralized	Centralized
	Decentralized	Centralized	Centralized	Centralized
	Decentralized	Centralized	Centralized	Centralized
	1994	1997 (rural) 2001 (urban)	1992	2009
	Mostly survey*	Mostly survey*, ODA in urban areas	Mostly survey*	Household Assessment, saturation in rural and in pockets of poverty for urban areas
	Home visit	Home visit	Home visit	Home visit
	No, but plans to build a national database	Nationwide	Nationwide	Nationwide
	44. 7 M (2011, CIA factbook)	102.3 M	4M	94.85 M (2011)
	7.8 M households 28.4 M individuals (2011)	9.5 M households 41 M individuals (2004)	250,000 households 1 M individuals (2002)	10.9 M households (2009) 49.9 M individuals

ed States by Tarsicio Castañeda and Kathy Lindert, Bénédicte de la Brière, Luisa Fernandez, Celia Hubert, Osvaldo ses: World and Philippines Experience by Luisa Fernandez (2011)

KEY ELEMENTS OF HOUSEHOLD TARGETING

Country/Targeting System	United States	Brazil	Chile
	US Registries	Cadastro Unico	Ficha de Proteccio Social
Estimated no. of poor population		47.1 M (26.6%) (2004)	1 decil: 35% 1.3 million HH 2 decil: 18% 0.7 million HH (2010)
Users	Yes, varies per state	Conditional Cash Transfer (CCT) Program	14 Ministries (24 services and 200 programs).
Updating and Recertification	Continuous updating; annual recertification required	Policy not yet established. (Some data dating back 2001)	Every 2 years
Household Assessment Mechanism	Verified Means Testing	Unverified Means Testing	Proxy Means Testing (PMT)
Monitoring, Verification and Fraud Control Mechanism	Uses social security number (SSN), Multiple, sophisticated instruments	Weak; developing automated cross-checks, oversight system, social controls	Medium; central-ized procedures but lacks system for auditing data collection
Cost Efficiency	US $25	US $3.9	US $5-6

HH: Households. *These countries rely mainly on survey sweep (census of poor areas), but also allow f

Monitoring, Verification and Fraud Control Mechanism of NHTSPR includes using unique ID number for tion and formation of a Local Validation Committee (LVC) to verify and act on complaints received d use of database to its intended purposes. NHTSPR also monitors activity of data users through the u garding complaints on the selection of beneficiaries and action taken to resolve the problem.

(Sources: Designing and Implementing Household Targeting Systems: Lessons from Latin American and The Osvaldo Larrañaga, Mónica Orozco, and Roxana Viquez (June 2005), and Targeting Effectively through Pove

	Colombia	Mexico	Costa Rica	Philippines
on	Sistema de Selección de Beneficiarios (SISBEN)	Padron Unico de Beneficiarios	Sistema de Información de la Población Objetivo (SIPO)	National Household Targeting System for Poverty Reduction (NHTSPR)
	Sisben 1: 41% 3.2 million HH Sisben 2: 35% 2.7 million HH (2011)	21.5 M individuals (21%) 2 M extreme poor (2004)	636,000 (15.9%) (2002)	5.2 M HH 29.8 M Individuals (2011)
	Multiple social protection programs	Multiple social protection programs	Multiple at the central government level	Multiple social protection programs
	Every 3 years	Every 3 years	Every 3 years	Every 4 years
	PMT (with geographic targeting)	PMT (with geographic targeting)	PMT (with geographic targeting)	PMT (with geographic targeting)
g	Weak; lacks system for auditing data collection	Medium-High; centralized at all stages, but lacks system for external audits	Weak; SIPO has never been audited or evaluated.	Multiple,* Medium – High, centralized at all stages, with system for external audit.
	US $3-4	US $7-8	US $ 4.2-7.0	US $2.5

or on demand applications in some instances.

every household, application of validation routines upon data encoding, conduct of a 30-day valida-
during validation. A memorandum of agreement between the department and the data user limits the
username and password provided. The project also collects regular feedback from its data users re-

e United States by Tarsicio Castañeda and Kathy Lindert, Bénédicte de la Brière, Luisa Fernandez, Celia Hubert,
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