

# Listahanan

TALAAN NG PAMILYANG NANGANGAILANGAN

OPERATIONS MANUAL



## **Table of Contents**

Acronyms

Foreword

### **1. Introduction**

1.1. Background

1.2. Basic Project Information

1.2.1. What is the Listahanan?

1.2.2. Objectives of the Listahanan

1.2.3. Who will benefit from the Listahanan?

### **2. Organizational Structure**

2.1. The National Household Targeting Office

2.2. The National Technical Advisory Group

2.3. The National Targeting System Committee

2.4. The National Household Targeting Unit

### **3. Implementing Arrangements**

3.1. How is Household Targeting Undertaken?

3.1.1. The First Household Assessment (2009-2011)

3.1.2. The Second Household Assessment (2015)

#### **A. Preparatory Phase**

- Updating of the PMT Model
- Enhancement of the MIS
- Identification of Areas for Assessment
- Screening and Hiring of Field Personnel
- Training of Field Personnel
- LGU Engagement

#### **B. Data Collection and Analysis Phase**

- Community and Household Data Collection
- Data Entry
- Determination of Poverty Status

#### **C. Validation and Finalization Phase**

- Posting of Initial List of Poor and Non-Poor Households
- On-appeal Validation of Households
- Finalization of the List of Poor Households

#### **D. Report Generation and Management Phase**

- Data Sharing
- Records Keeping
- Updating Policies

#### **4. Human Resource Development**

- 4.1. Selection and Hiring of Field Personnel
- 4.2. Training of Field Personnel

#### **5. Social Marketing**

- 5.1. Building a Brand
- 5.2. Communication Strategy
- 5.3. Communication Channels

#### **6. Monitoring and Evaluation**

- 6.1. Project Implementation Monitoring
- 6.2. Outcome Monitoring
- 6.3. Project Evaluation
- 6.4. The Management Information Review
- 6.5. Accountability and Control Mechanism
- 6.6. Regular Field Monitoring and Spot Checks

#### **7. Annexes**

- 7.1. Instructional Manual for Area Coordinators and Supervisors including Annexes
- 7.2. Instructional Manual for Enumerators including Annexes
- 7.3. Instructional Manual for Encoders and Verifiers including Annexes

## **ACRONYMS**

AA	Administrative Assistant
AC	Area Coordinator
AS	Area Supervisor
CSO	Civil Society Organizations
DMS	Data Management System
DRPM	Deputy Regional Project Manager
DSWD	Department of Social Welfare and Development
ENC	Encoder
EN	Enumerator
FAL	Family Assessment Log
FAF	Family Assessment Form
FIES	Family Income and Expenditure Survey
HRDU	Human Resource Development Unit
LFS	Labor Force Survey
LGU	Local Government Unit
LVC	Local Verification Committee
NCDDP	National Community Driven Development Program
NGA	National Government Agencies
NGO	Non-Government Organizations
NHTO	National Household Targeting Office
NHTU	National Household Targeting Unit
NPD	National Project Director
NPM	National Project Manager
NPMO	National Project Management Office

NSCB	National Statistical Coordination Board
NSO	National Statistics Office
NTAG	National Technical Advisory Group
NTSC	National Targeting System Committee
ODA	On-Demand /Appeal Application
OMR	Operations Monitoring Report
PCUP	Presidential Commission on the Urban Poor
PC	Project Coordinator
PIDS	Philippine Institute for Development Studies
PMT	Proxy Means Test
PSA	Philippine Statistics Authority
RAS	Regional Associate Statistician
RFC	Regional Field Coordinator
RFP	Regional Focal Person for the Listahanan Project
RITO	Regional Information Technology Officer
RPD	Regional Project Director
RPMO	Regional Project Management Office
SAE	Small Area Estimates of the NSCB
SLP	Sustainable Livelihood Program
SWS	Social Weather Station
TPT	Total Poverty Threshold
VER	Verifiers

## Foreword

This Operations Manual defines the institutional and organizational frameworks covering the mandate and activities of the Listahanan Project. It describes the implementation arrangements; organizational structure and the responsibilities of each office involved; operational parameters; management information system; public information and training; accountability and control mechanisms; and monitoring and evaluation; that shall guide the project staff throughout the implementation period.

The manual will guide the implementers at all levels of operation thereby ensuring consistency, timeliness, and accuracy of generated data and information. Future changes in this document shall only be made in agreement with The World Bank.

The manual is organized as follows:

**Part 1** presents the background, rationale, and objectives of the Listahanan. It also describes the organizational structure, details the responsibilities of participants and other stakeholders, and outlines the procedures or steps to implement the Project. Survey or assessment forms are appended to the respective Instructional Manuals for Area Coordinators and Area Supervisors, Enumerators, and Encoders and Verifiers.

**Part 2** contains the Department Orders, Memoranda, and other Issuances that support the Listahanan. It also includes the Instructional Manuals; questionnaires and other assessment or survey forms and the corresponding guide on how these will be accomplished.



## 1. Introduction

### 1.1 Background

Official poverty statistics reflected a slight decrease in the incidence of poverty. From 26.9% in 2006, it fell to 26.3% in 2009. However, this modest gain has been overshadowed by a corresponding increase in the magnitude of poverty. From 4.6 M families in 2006 the number of poor families rose to 4.8 M in 2009. It is worth noting that a significant increase in population from 86.9 M in 2006 to 92.2 M in 2009 has been reported.

The 2012 official provincial poverty statistics generated by the NSCB showed that poverty conditions in the 1<sup>st</sup> semester of 2012 appear to be unchanged from the 1<sup>st</sup> half of 2006 and 2009. During this period, the rate of increase in the average incomes of the bottom 10% and the bottom 30% is practically the same as the rise of food prices and overall prices, respectively.

As the primary government agency mandated to provide social protection, the DSWD constantly implements programs aimed at reducing the incidence of poverty and the vulnerability of families to risks.

Social protection must be able to respond to various types of risks and vulnerabilities that confront Filipino households. These include risks from unemployment and underemployment, large family size, natural calamities, political unrest and instability, lack of access to safe water, irrigation, sanitary toilets, shelter and housing, credit facilities, hunger and malnutrition and risks from illness and other health problems (Aldaba, 2009).

In its effort to help address these risks and prevent the poor from further sliding into poverty, the Department embarked on a **National Sector Support for Social Welfare and Development Reform Project (NSSWDRP)**. This initiative has continuously supported the reform agenda that has propelled the Department to fully assume its leadership role in social protection within the context of new development challenges.

The Directive<sup>1</sup> to **adopt a household targeting system** that was issued on September 2008 is in recognition of the need to guarantee that the poor receive or enjoy the benefits of social protection programs they badly need.

“**Targeting**” refers to the process of selecting households or individuals who are the most in need of assistance from the government. Because of resource constraints faced by the government, it is important that assistance is targeted to the poor to maximize impact and minimize wastage of limited resources.

In consonance with the mandate, the Project Management Office for the Listahanan was created. The Office served as interim body tasked to establish a unified, objective, and transparent targeting system that will identify who and where the poor households are.

Taking cognizance of the significance of focused targeting in reducing inclusion / exclusion of unintended / intended beneficiaries of the government’s social protection

---

<sup>1</sup> Annex 1\_Department Order No. 1 s 2008, Adopt a Household Targeting System for Poverty Reduction for DSWD Social Protection Programs and Services

programs, Executive Order (EO) 867<sup>2</sup> was promulgated in March 2010. The executive fiat directed all national government agencies to use the Listahanan as the mechanism in identifying potential recipients of social protection programs nationwide.

## **1.2 Basic Information**

### **1.2.1 What is the Listahanan?**

The Listahanan or the “Project” is an information system for identifying **who** and **where the poor households are**. Its implementation is spearheaded by the DSWD through the NHTO. The system guarantees the establishment and management of a national socio-economic database of poor households using a globally-accepted methodology.

The Listahanan maintains a number of information systems that include the User Management System for monitoring and profiling of staff; Integrated Data Entry application with validation routines for the BCC and FAF (both Web-based and Mobile Applications); Duplicity Checker to minimize double entries in the database; application for faster PMT processing and data management; and data sharing application such as Business Intelligence software, Customer Relationship Management System, Data Generation Application and Name Matching Application.

### **1.2.2 Objectives of the Listahanan**

The general objective of the Listahanan is to develop and maintain a database of poor households that can be shared with NGAs and CSOs/NGOs as well as the LGUs and other stakeholders to enable them to objectively identify the poor who shall be prioritized in the delivery of social protection programs and projects.

#### **Specific Objectives**

1. Formulate a unified criteria for the identification of the poor population through scientific means;
2. Facilitate sharing of high quality database to public and private social protection stakeholders; and
3. Reduce leakage or inclusion of non-poor and under coverage or exclusion of poor in Social Protection Programs and Services;
4. Ensure the cost efficiency of Social Protection Programs.

---

<sup>2</sup> Annex 2\_Providing for the Adoption of the National Household Targeting System for Poverty Reduction as the Mechanism for Identifying Poor Households Who Shall be Recipients of Social Protection Programs Nationwide



### **1.2.3 Who Will Benefit from the Listahanan?**

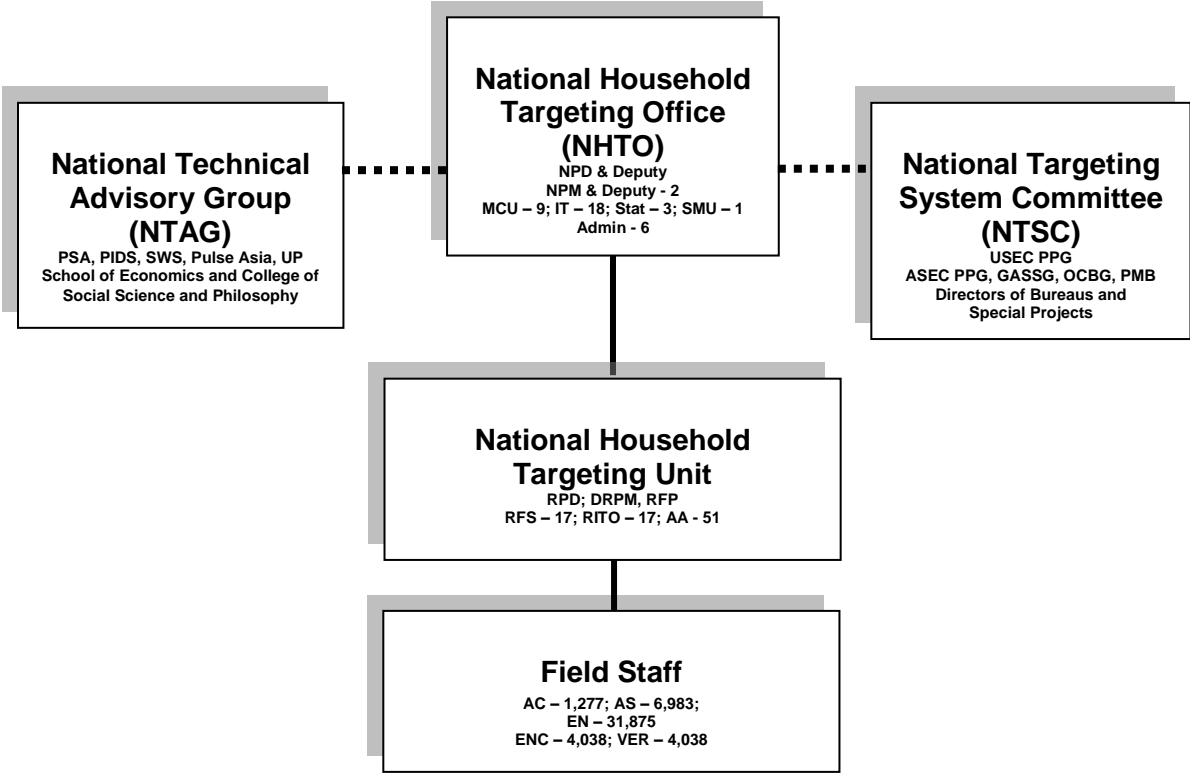
The database of poor households will benefit public and private agencies engaged in social protection programs and projects. As end-users, these agencies will be encouraged to access and use Listahanan -generated data.

By virtue of Executive Order No. 867, series of 2010, NGAs are mandated to use Listahanan data in the selection of beneficiaries for their social protection programs and services.

## **2. Organizational Structure**

The Organogram below represents the mainstreamed work relationships of the national and regional levels and their coordination link with the LGUs. It also reflects the hierarchical level of authority, responsibility, and accountability of each stakeholder.

**Figure 1: Listahanan Implementation Structure**



**2.2.1 The National Household Targeting Office**

Composed of technical staff of various disciplines, the NHTO performs policy-making function and ensures the execution of tasks and activities of the Project.

It is headed by a NPD and a Deputy. The operations of the NHTO is managed and supervised by a NPM and assisted by two Deputies. It pursues its mandate through the following units:

**Monitoring and Coordination Unit**

The unit is responsible for [1] The formulation, review and enhancement of policies, systems and procedures for planning, programming, reporting, and monitoring and evaluation of the Listahanan; [2] Development and implementation of training programs for the NHTUs and other field staff; [3] Conduct of monitoring and spot checks on the implementation of field activities of the NHTUs; [4] provision of technical assistance to the NHTUs to ensure accomplishment of annual targets and objectives.

## **Information Technology Unit**

The unit takes charge of [1] systems analysis and the development of the database to include the implementation of appropriate software; [2] systems administration that will cover the establishment of IP policies and protocols; [3] lead in the administration and management of the Listahanan database.

## **Statistics Unit**

The unit is responsible for [1] the development and evaluation of methodologies and procedures in identifying poor households; [2] recommending the development of an efficient targeting system; [3] generation of pertinent statistical data and other poverty related reports that would assist various stakeholders in the implementation of social protection programs; [4] development of validation routines to enhance data integrity and accuracy.

## **Social Marketing Unit**

The unit undertakes the [1] promotion and adoption of the targeting system as the sole source of beneficiaries for social protection programs; [2] development and sharing of IEC materials in the conduct of advocacy and social marketing activities at the national, regional, and local government levels; [3] establishment and maintenance of liaison and networking with data users and other stakeholders for datasharing; [4] monitor data utilization by stakeholders.

## **Administrative Unit**

The unit is primarily responsible for the provision, maintenance, and management of logistical requirements to support the operations of the NHTO. It executes and recommends policies and procedures relevant to efficient and effective, personnel transactions, property management, and transportation / communication / janitorial services.

### **2.2.2 National Technical Advisory Group**

The NTAG is composed of technical experts on poverty, economics, statistics and demography. It provides policy guidance in the implementation and management of the Project. The expertise and experience of the members in data gathering, data treatment and analysis, and data management contribute immensely in decision-making and in the crafting of responsive policies.

Specifically, the NTAG is tasked to give expert advice and review the design of the national targeting system that include i) development and enhancement of the Proxy Means Test (PMT) Model; ii) training; iii) survey proper; and iv) data collection, analysis, and report generation.

Currently, the members of group come from the PSA, UP School of Economics, UP College of Social Science and Philosophy, PIDS, SWS, and Pulse Asia.

### **2.2.3 National Targeting System Committee**

Created through Special Order No. 616<sup>3</sup>, series of 2008, the NTSC ensures that the following objectives of the Listahanan are met.

- Identify beneficiaries of social protection programs;
- Create a database of poor households;
- Reduce leakage on the services and interventions provided.

Its functions cover the following:

- Installation of an objective and transparent targeting system;
- Conduct of nationwide household survey;
- Operationalization of a national targeting system;
- Establishment of a database of poor households;
- Procurement of services of resource persons or consultants who will provide technical advice on survey and targeting.

The members of the NTSC are representatives of the different operational clusters within the Central Office Clusters of the DSWD, namely; Policy and Plans, Operations and Programs, and General Administration and Support Services. The Pantawid Pamilyang Pilipino Program PMO, the NCDDP and SLP are represented.

### **2.2.4 The National Household Targeting Unit (NHTU)**

This Office is in charge of the implementation of tasks and activities of the Project at the regional level.

The NHTU is headed by a RPM and backstopped by a Deputy and a RFP, in an ex-officio capacity.

Each NHTU is manned by a RFC, RITO, RAS, and four Administrative Assistants (AA).

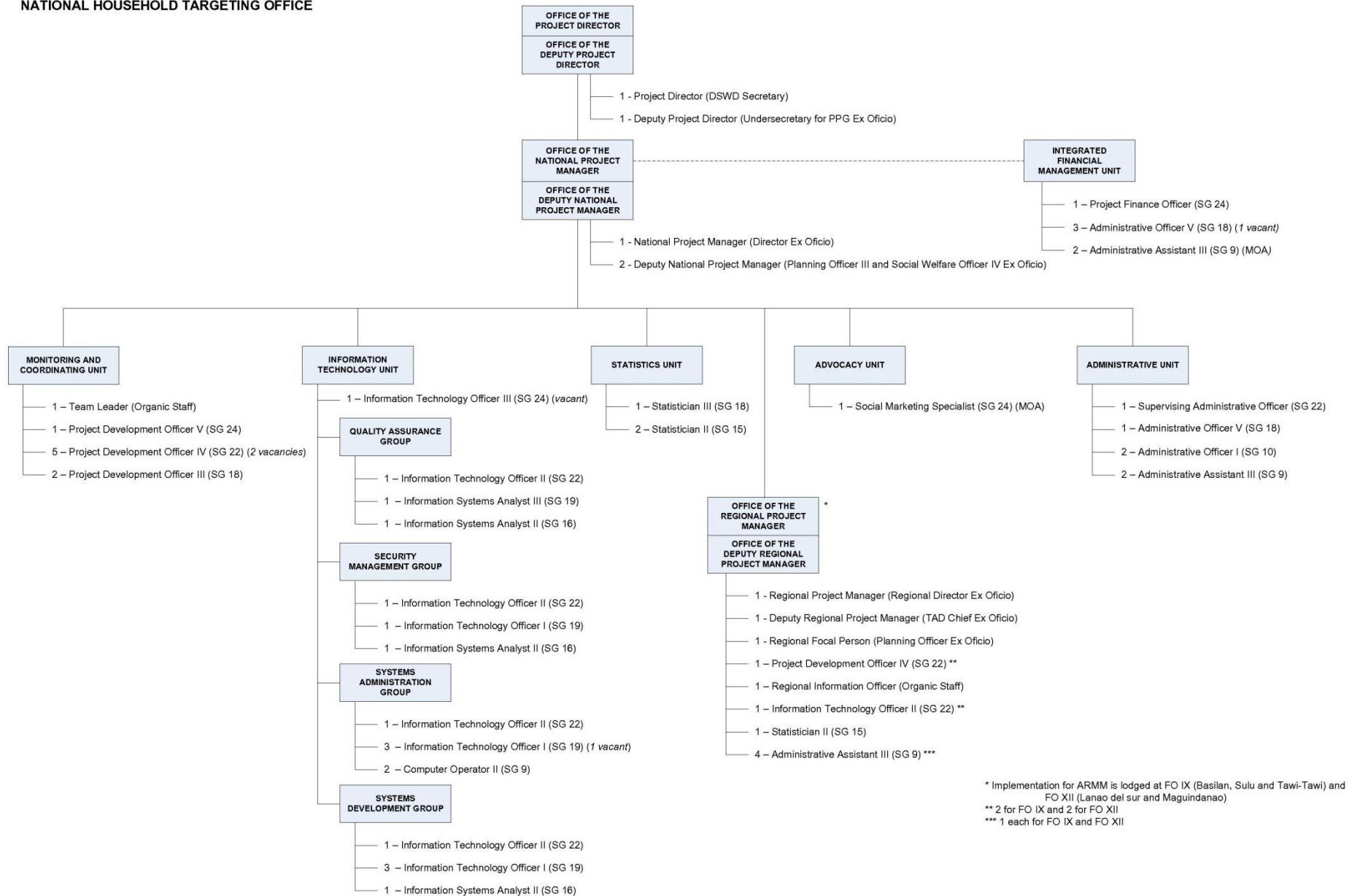
At the LGU or field level, the AC, AS, EN, ENC, and VER constitute the main workforce for data gathering and data entry or encoding.

The formal and functional organizational structure that informs decision making and provides guidance and clarity in terms of lines of authority, responsibility, and accountability in the implementation of the Listahanan at the National and Regional levels is presented in Figure 2.

---

<sup>3</sup> Annex 3\_Creation and Composition of the National Targeting System Committee (NTSC), 9 July 2008

## NATIONAL HOUSEHOLD TARGETING OFFICE



### 3. Implementing Arrangements

#### 3.1 How is Household Targeting Undertaken?

##### 3.1.1 First Household Assessment (2009-2011)

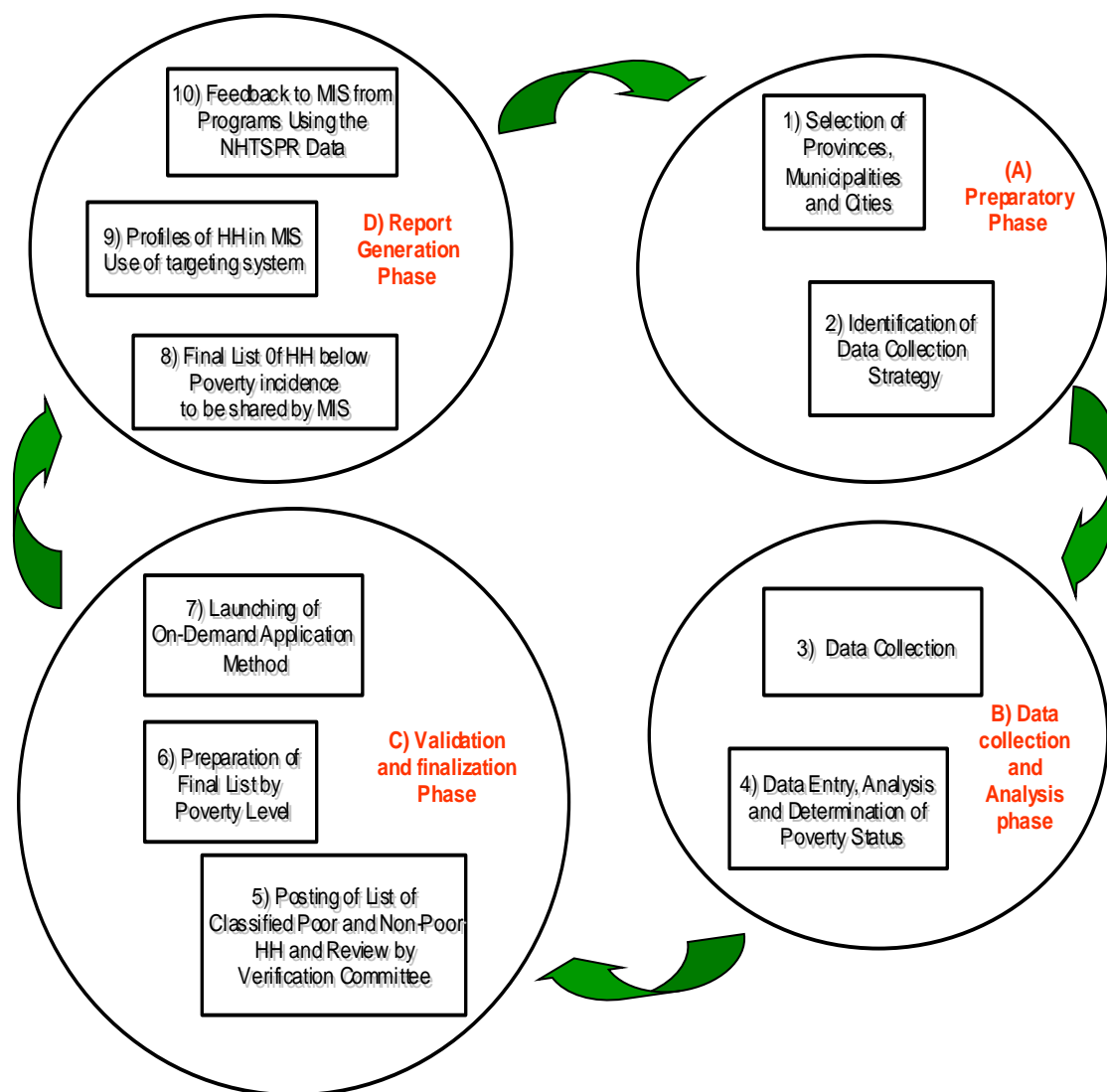
In the first nationwide household assessment conducted in 2009, the household targeting process covered two (2) stages. The first stage involved the identification of enumeration strategy for provinces and municipalities that were covered. The geographic selection of provinces, municipalities, and cities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

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

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

Figure 3 shows the four-phase Project Cycle that guided the process of identifying ***who and where the poor are*** through objective, transparent, systematic, and scientific collection, validation, and consolidation of data.

**Fig. 3: NHTSPR Project Cycle**



In terms of geographic coverage, all provinces, municipalities, and cities were covered by the household assessment that was conducted in phases. Prioritization was done using the NSCB classification of provinces / municipalities / cities with Poverty Incidence data as reflected below:



**Table 1: Coverage and Data Collection Strategy**

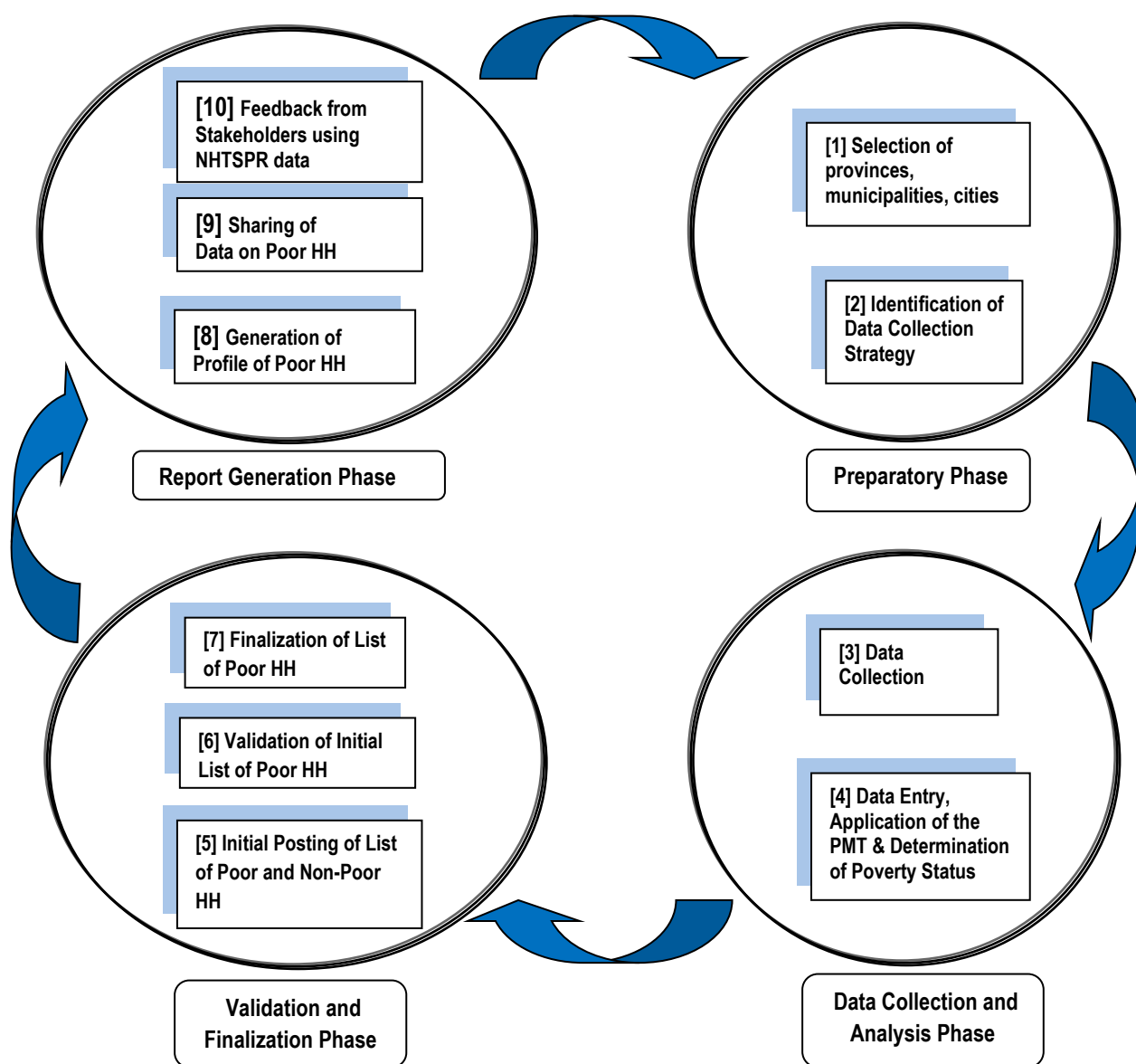
Phase	Coverage	Number of HH	% of HH	Survey method		Duration (Mo.)
				Rural	Urban	
<b>Phase 1</b>	20 poorest provinces	1,625,491	32%	Total enumeration* 223 municipalities	Total enumeration in pockets poverty and on-demand**	6
	Municipalities with Poverty Incidence higher than 60% in non-20 poorest provinces	521,453		Total enumeration 83 municipalities		
	Highly urbanized cities	540,119			Total enumeration in pockets poverty and on-demand 45 cities	
<b>Phase 2</b>	Municipalities with Poverty Incidence between 50% and less than 60%	676,867	19%	Total enumeration 100% of households will be surveyed 100 municipalities		6
	Component cities	926,165			Total enumeration in pockets of poverty and on-demand 83 cities	
<b>Phase 3</b>	Municipalities with Poverty Incidence of less than 50%	4,107,923	49%	Total enumeration in pockets poverty and on-demand 917 municipalities		12
<b>Total</b>		<b>8,398,019*</b>	<b>100%</b>			

\*Target was based on NSCB Statistics. However, the actual number of households assessed was 11,043,464. PMT was applied to only 10,909,456 households. Of this number, 5,225,118 were identified as poor households.

### 3.1.2 The 2<sup>nd</sup> Nationwide Assessment (2015)

As mandated in EO 867, the Listahanan Database will be updated every 4 years. As such, the 2<sup>nd</sup> nationwide assessment should have been done in 2013-2014. Due to the delay in the release of funds, the 2<sup>nd</sup> assessment will be implemented in 2015. As in the 1<sup>st</sup> assessment, it shall also be guided by the four-phase Project Cycle (Figure 4) that was modified to allow longer time for the conduct of validation activities in the Validation and Finalization Phase of the Project Cycle.

Figure 4: Modified NHTS-PR Project Cycle



## Timelines

### The 2<sup>nd</sup> Nationwide Assessment

Activities	Mo 1	Mo2	Mo3	Mo 4	Mo5	Mo 6	Mo 7	Mo 8	Mo 9	Mo 10	Mo 11
<b>I. PRE ASSESSMENT PHASE</b>											
> Review of PMT model, systems development											
> Screening and hiring of field staff											
> Training of Trainers, AC, AS, EN, ENC, VER											
<b>II. DATA COLLECTION AND ANALYSIS</b>											
> Data Collection (Family Assessment)											
> Data Processing (Data Entry, PMT Application)											
<b>III. VALIDATION AND FINALIZATION PHASE</b>											
> Rehiring, training and deployment of Field Personnel											
> Organization of the LVC											
> Posting of the list of poor and non-poor households											
> Receipt and resolution of complaints by LVC											
> Conduct of Validation Assessments											
> PMT Re-run and Finalization of List of Poor Households											
<b>IV. REPORT GENERATION PHASE</b>											
> Generation of the Profile of the Poor											
> Sharing of Data on Poor Households											

## A. Preparatory Phase

This phase of the cycle prepares the implementing institution and its stakeholders for the operationalization of the targeting system at the barangay / municipal-city / provincial levels. Projected to cover a four-month period, this Phase includes the following processes:

### ❖ Updating of the PMT Model

The enhancement of the PMT model was done. Improvements focused on finding alternative (additional) variables that are useful in identifying the poor and non-poor households, as well as exploring alternative estimation procedures that will help reduce the exclusion and inclusion error rates that were relatively high in the 1<sup>st</sup> nationwide assessment.

Two PMT models were developed: one PMT model for households in the National Capital Region (NCR) and another PMT model for households outside the NCR (non-NCR). Having two models, instead of one for all households, is another innovation introduced in this undertaking. This is basically to minimize the error rates. In NCR, the large errors suggest that poor households in the region may have different characteristics than poor households outside the NCR.

The PMT model for non-NCR households has 76 significant explanatory variables. The variable that explains the largest variation in the household's per capita income is family size.

The PMT model for NCR households has 39 significant explanatory variables. Similar to the non-NCR PMT model, family size is the variable that explains the largest variation in the household's per capita income.

### ❖ Enhancement of the MIS

The development and enhancement of two IT systems that will ensure functionality of the paper and pen and tablet-based data collection and processing highlights the improvements made on the MIS. These cover the following:

- User Management System for monitoring and profiling of staff
- Integrated Data Entry application with validation routines for the BCC and FAF
- Improved Duplicity Checker to minimize double entries
- OMR system that enables NHTO and NHTU staff to input updates on activities and tasks in the main phases of the Project Cycle

- DMS as a system where household records with issues are logged, queries stakeholders' queries are verified and responded to
- Application for faster PMT processing and data management
- FAF Web Encoding System as online information system for data entry of FAF.
- Development of Mobile Application for Tablet-assisted data collection

#### ❖ **Identification of Areas for Assessment**

All provinces, municipalities and cities will be covered by the assessment. The NHTO, in coordination with the PSA, shall generate the list of ***all urban and rural barangays***, including their population based on the 2010 Census of Population.

In rural barangays<sup>4</sup>, all households shall be assessed. In urban barangays, assessment shall be through pockets of poverty. Identification of these pockets will be based on the NHTO Guidelines<sup>5</sup>. Once identified, all households within the pockets shall be assessed.

#### ❖ **Screening and Hiring of Field Personnel**

This process starts as soon as the total manpower requirements for EN, AC, AS, ENC and VER are determined based on the planned coverage and duration of the assessment. Among the activities to be undertaken are posting of vacancy ads; conduct of interviews; administration of qualifying tests; short-listing of initially-qualified applicants; notification of qualified staff. All hired staff will each sign a Contract of Service stipulating the Terms and Conditions of Engagement with the Project. (Please see Chapter 4 for details.)

#### ❖ **Training of Field Personnel**

This will be managed by the NHTU in coordination with the HRDU. The NHTO will use audio-visual materials to standardize training of field staff. This cost-effective approach will help minimize human error in disseminating standard definitions of concepts and processes; allow field personnel to review such concepts and processes whenever needed. (Please see Chapter 4 for details.)

#### ❖ **LGU Engagement**

The LGUs play a critical role in ensuring the success of the Listahanan. As envisioned, they are one of the primary stakeholders that will benefit from the use of the Project's Database. Their participation in the household assessment process is highly encouraged.

As stakeholders and duty-bearers, LGU shall participate in the Project by: recommending field staff to be hired; assisting the EN and AS during the household assessment especially in penetrating distant and hard-to reach sitios or puroks; providing data or

<sup>4</sup> Annex 4\_Number of Rural and Urban Barangays and Target Households

<sup>5</sup> Annex 5\_Addendum to the Operations Manual to Guide RPMO in Identifying Pockets of Poverty for HUCs, Component Cities and Municipalities with Poverty Incidence below 50%

information needed; participating as members of the LVC that will act on complaints / appeals relating to the issue of household eligibility; and facilitate validation of households not assessed during the regular enumeration in both urban and rural areas.

## **B. Data Collection and Analysis Phase**

This phase covers the process of collecting data through household assessment; data entry into the MIS; data analysis through the application of the PMT; and the determination of the poverty status of households. A preliminary list of Poor and Non-Poor Households will be generated as final output. A period of three months is allotted for this phase.

Tablet-aided data collection will be the main approach in urban barangays while the paper and pencil method shall be applied in rural barangays. A comprehensive training program for AC, AS, EN, ENC, and VER will be undertaken to ensure efficiency and effectiveness in using the android device. In areas experiencing periodic military operations and those with low internet connectivity, the paper and pen approach will be used.

The procedural Guide in tablet-aided data collection and its corresponding training program will be crafted and shall form part of this Manual.

The new PMT model that was developed will be used in the determination of the initial and final poverty status of households.

### **❖ Community and Household Data Collection**

This will be done by the AS and EN using the BCC<sup>6</sup> and the enhanced FAF<sup>7</sup>, respectively. In rural barangays, all households shall be assessed. In urban barangays, assessment shall include all households living in the pockets of poverty that were identified through the help of the LGU and the PCUP.

The assessment will be guided by the procedures contained in the Instructional Manuals for AC and AS; EN; and ENC and VER that are appended as Part 2 of this Operations Manual.

As quality control mechanism, the AS shall review all accomplished FAFs submitted by the EN under his/her supervision. This is to ensure completeness and accuracy of data.

Moreover, the AS shall provide coaching and mentoring sessions for each of the EN under him/her and conduct five re-interviews of randomly-selected households from the daily accomplished FAFs submitted by the EN. This will serve as verification of the accuracy and completeness of data gathered; confirmation of actual household interviews conducted; and feedback on the weaknesses of the EN in correctly accomplishing the FAF.

---

<sup>6</sup> Annex 6\_The Barangay/Community Characteristics (BCC) Survey Form

<sup>7</sup> Annex 7\_The Enhanced Family Assessment Form (FAF)

In addition, the AS shall facilitate the accomplishment of the BCC Form during the pre-assessment visit for courtesy call and orientation of barangay officials. The AS shall accomplish this form for each of the barangays under his/her operational jurisdiction.

#### ❖ **Data Entry**

Data gathered will be encoded and entered in the MIS by the ENC at the regional or NHTU level. Information encoded from the FAFs shall be verified as to completeness and accuracy by the VER. The RITO shall supervise the data entry process. The Instructional Manual for Encoders and Verifiers, appended as part of this Operations Manual, shall serve as the main reference for data entry.

For tablet-aided data collection, a separate procedural guide shall form part of this Operations Manual once developed and completed.

As part of systems enhancement, key controls shall strictly be observed in relation to the i) issuance of Certification of Completion by the NHTU; and ii) Request for Application of the PMT.

#### ❖ **Determination of Poverty Status**

Data encoded at the NHTU level shall be transmitted to the NHTO for the application of the PMT. The PMT will determine the estimated income of the households and classify them by poverty status.

Households with estimated incomes that are **equal to** and **above** the latest provincial poverty thresholds will be considered **non-poor** and those with estimated incomes **falling below** the will be considered **poor**.

The initial or preliminary list of poor and non-poor households which shall be the final output of this activity shall be disseminated to the LGUs for review.

### **C. Validation and Finalization Phase**

This phase provides an opportunity for the transparent review of the preliminary list of poor, non-poor, and near-poor households generated after the initial PMT was applied. It facilitates the identification of wrong entries and inclusion of households not assessed, and accommodates changes based on merit. The process aims to come up with an accurate, credible and final list that will be generated after a thorough review with the communities and their LGUs. Projected timeframe for the phase is three months.

#### **Posting of Initial List of Poor and Non-Poor**

This preliminary list will be posted in conspicuous places (municipal / city / barangay hall, churches or chapels, bulletin board of schools, markets and malls) in the communities.



Enough time will be given to receive queries and complaints on the accuracy or veracity of the list. Using the process stipulated in NPMO Circular 3, series of 2010<sup>8</sup>, the LVC shall be constituted to act on and resolve all complaints received.

### ❖ **On-Appeal Validation of Households**

This process facilitates the inclusion of households (not assessed or inadvertently omitted in the initial list) in the final Listahanan database. Households may submit an appeal for assessment to the LVC. Any person desiring to file an appeal or apply for household assessment must:

- Present one (1) valid identification card, i.e. Voter's ID, SSS, GSIS, PhilHealth that shows his or her name and complete address;
- Present a certification from the LGU that the household was not visited and assessed;
- Agree to an unannounced home visit for an interview.

The main tasks of the LVC are to:

- Resolve complaints and appeals received;
- Check the list of households for completeness; and
- Identify and certify households that have not been assessed based on appeals and complaints received.

The AS will prepare a work plan for the assessment of households. This will serve as the guide for the EN who is expected to make unannounced home visits and conduct assessments of applicant-households.

The assessment procedures for the paper and pencil approach shall follow the assessment procedures laid down in this Manual and its attachments. A separate procedural guide for the tablet-aided approach shall be appended as part of this Operations Manual.

Accomplished FAFs shall be submitted to the AS. Data entry into the MIS shall follow the verification process that has been established. The application of the PMT to determine poverty status shall then be facilitated.

Correction of entries in the new FAF shall be made only upon the recommendation of the LVC. The AS will endorse the accomplished FAF to the RITO for encoding.

The registry of poor and non-poor households shall be considered as completely closed two (2) months after the last assessment is conducted.

---

<sup>8</sup> Annex 8\_Guidelines for Validating and Finalizing List of Poor Households

## ❖ **Finalization of the List of Poor and Non-Poor Households**

The review of the results of the final PMT run will culminate in the generation of the final list of poor and non-poor households. At this stage, the list will already include those that were assessed through the on-appeal process.

## **D. Report Generation and Management Phase**

This phase of the Project Cycle describes the process of information generation and management.

### ❖ **Data Sharing**

Data generated from the Listahanan shall be shared with stakeholders - primarily the NGAs, CSOs / NGOs, LGUs, the Academe, and other stakeholders.

Data sharing will be guided by Administrative Order No. 2, series of 2009<sup>9</sup> also known as the Guidelines on Data Sharing. This mechanism will ensure the generation of feedback on how Listahanan data helped in the development or implementation of social protection programs. Data users will be provided an easy-to-fill in matrix to facilitate periodic feedback on data usage.

For datasharing purposes, only the List of Poor Households will be made available. This official list will be shared with stakeholders to serve as guide in the selection of beneficiaries of social protection programs.

The non-poor list will be shared depending on the merits of the requests.

### ❖ **Records Keeping**

In addition to the PMT files, the NHTO shall archive information on the extent of data usage by stakeholders that have entered into a Memorandum of Agreement for Datasharing.

### ❖ **Updating Policies**

Consistent with Executive Order 867, the updating of the NHTO database will be done every four years. This means that a new round of household assessment will be conducted after a review of the PMT model and using the latest data to be provided by the PSA and PCUP.

Due to delay in the release of the required budget, the 2<sup>nd</sup> assessment that should have been done in 2013 will be pursued in 2015.

---

<sup>9</sup> Annex 9\_Guidelines on the Sharing of Data Generated from the NHTSPR

## **4. Human Resource Development**

The integrity of the database of poor households depends largely on the quality of the data collection process. The completeness and accuracy of the data collected rests on a thorough selection, hiring, and training process of those who shall form part of the organization.

A Terms of Reference setting forth the scope of work of each of the organization's units and staff, as well as the qualification standards for each position has been developed.

### **4.1 Selection and Hiring of Field Personnel**

The process commences as soon as the manpower (EN, AC / AS, ENC, VER) required is obtained based on the coverage and duration of the household assessments. This process includes posting of vacancy advertisements in newspapers of general circulation; conduct of interviews; administration of the Initial Qualifying Test (IQT); deliberation by the Personnel Selection Committee, and preparation of the list of hired field personnel.

All hired field personnel will each sign a Contract of Service stipulating the Terms and Conditions of their engagement with the Project.

The NHTUs are primarily responsible for the selection and hiring<sup>10</sup> of field personnel in coordination with their respective personnel management divisions.

### **4.2 Training of Field Personnel**

The NHTO prepares all modules and reference materials, including training aids, for the training of field personnel on effective household assessments.

Guided by a set of standard training syllabus for specific field personnel, the NHTO, through its core group of trainers, shall facilitate the training of NHTU personnel.

Using the same set of training manuals, the NHTU shall capacitate all AC and AS to be trainers themselves. They will be trained to serve as resource persons during the training of ENs on effective household assessment.

The same training standards and procedures shall be maintained in all stages of the training process. The use of standard audio-visual materials on concepts and processes involved in the project implementation is mandatory. This will minimize human error in conveying standard definitions and concepts to field personnel, allow field personnel to review concepts and processes whenever they need and as such, unburden the AC / AS from regularly clarifying standard concepts and processes so that they can devote more time for supervision.

The modular contents for the different levels of staff training are presented below.

#### **Area Coordinators and Area Supervisors Training**

##### **Module 1: Unfreezing**

- Leveling of Expectations
- Getting-to-know activities

---

<sup>10</sup> Annex 10\_Terms of Reference of Field Staff to be Hired

- Objectives setting
- House rules
- Schedule of training activities

#### Module 2: The Listahanan Project

- Background and rationale
- Operational cycle
- Job functions, roles, and responsibilities

#### Module 3: Supervisory and Management process

- Self-assessment
- Basic knowledge and skills
- Simulation exercises

#### Module 4: Familiarization of Concepts and Forms

- The Philippines Standard Occupational Classification (PSOC)
- The Family Assessment Form (FAF)
- The Barangay/Community Characteristics Form (BCC)
- Tablet-aided data collection
- Simulation Exercises

#### Module 5: Institutional and Work Arrangements

- Administrative Matters
- Financial Matters

#### Module 6: Refreezing

- Supervisory Development Planning
- Deployment Planning

### **Enumerators Training**

#### Module 1: Unfreezing

- Leveling of Expectations
- Getting-to-know activities
- Objectives setting
- House rules
- Schedule of training activities

#### Module 2: The Listahanan Project

- Background and rationale
- Operational cycle
- Job functions, roles, and responsibilities
- Institutional and Work Arrangements

### Module 3: Effective Household Assessment

- The Philippines Standard Occupational Classification (PSOC)
- The Family Assessment Form (FAF)
- The Barangay/Community Characteristics Form (BCC)
- Tablet-aided data collection
- Simulation Exercises

### Module 4: Institutional and Work Arrangements

- Administrative Matters
- Financial Matters

### Module 5: Refreezing

- Team Building
- Deployment Schedule

## **Encoders and Verifiers Training**

### Module 1: Unfreezing

- Leveling of Expectations
- Getting-to-know activities
- Objectives setting
- House rules
- Schedule of training activities

### Module 2: The Listahanan Project

- Background and rationale
- Operational cycle
- Job functions, roles, and responsibilities

### Module 3: The Listahanan Management Information System

- Data Entry Procedures
- Validation Routines
- Data Handling and Archiving
- Tablet-aided data collection
- Simulation Exercises

### Module 4: Institutional and Work Arrangements

- Administrative Matters
- Financial Matters

### Module 5: Refreezing

- Familiarization with Encoding Facilities
- Work scheduling / planning with RITO

## 5. Social Marketing

As the project evolves, public awareness and capacity building are the most potent approach in promoting the desired benefits of utilizing the targeting system for social protection programs. Thus, the following operational context shall determine the approach of the Listahanan in advocating for the optimum use of the system on behalf of the poor.

A communications audit conducted in 2012 revealed the need to reconsider the strategies employed to effectively communicate the project, its objectives and internationally accepted method in identifying the poor to its social protection stakeholders to bring about a positive attitude and supportive behavior towards the project.

### 5.1 Building a Brand

The audit results show that some of the project's target audiences confuse the project with the social protection program utilizing its data. This spurs the misconception that the project provides grants and services to the households classified as poor in its database. While other stakeholders believe that the project is not objective and can be manipulated.

These, among other findings, necessitated the project to come up with a brand that can effectively communicate its distinction from social protection programs, confirm its credibility as a targeting system and accuracy of the data it generates, and emotionally connect with its target users, bringing to mind that the project's main purpose is to bring their resources to the right people. In addition, the brand should be easy-to-recall and appealing enough to interest target audiences to take the first step and learn more about the project.

The brand defines the project on two levels:

**a. What it means (denotation):**

- a) a specific database with nationwide coverage and generated through scientific means
- b) it uses an internationally accepted methodology (PMT)
- c) it is intended to be used for social protection

**b. What it is (connotation):**

- a) non-partisan
- b) reliable/credible database
- c) for the benefit of the poor

### Symbol and Rationale of Listahanan Logo



The brand name **“Listahanan”** is a portmanteau of **“listahan”** (list) and **“tahanan”** (house/home). The name and the tagline, **“Talaan ng Pamilyang Nangangailangan”** define the project as it is - an initiative to establish a list of poor families in need of assistance from social protection programs.

The logo of a tickbox which is creatively shaped as a house, symbolizes household assessment. The checkmark on the tickbox is appreciated universally as a symbol for accuracy and correctness. The colors are derived from the palette of its implementing agency -- the DSWD.

The brand as a whole balances authority/objectivity (scientific accuracy of list) with compassion (care & protection of poor) which is consistent with the image of DSWD.

## 5.2 Communication Strategy

Since updating of the database occurs only once in every four years, a more aggressive communication strategy shall be used to ensure that the every activity in the project cycle (hiring, assessment, validation, and etc.) is supported by appropriate marketing collaterals and activities. The social marketing unit sees the implementation of the project cycle as an opportunity to increase brand visibility at the field level and to interact with a wider range of audience, which includes barangay officials, applicants and households (as primary data resource).

Part of the strategy is to identify specific target audience per project phase and the appropriate messages and channels for each audience. During this period, the social marketing unit focuses on disseminating correct information about the project, popularizing the technical aspect of the project, educating or providing orientations, and advocating for full support and participation of the target audiences.

Implementation of the social marketing activities is guided by the Listahanan Communication Management Decision (CMD)<sup>11</sup>.

## 5.3 Channels

The Listahanan communication strategy will employ various channels of communication to ensure that right messages reach target audiences. Comics, local radio programs, and process posters are some of the channels used to reach households or the general public. Process posters containing information on the different aspects of the project cycle and will be posted in conspicuous places for information of the stakeholders in the field level. The IEC materials produced are translated in local dialects for better understanding of the local audiences. Other channels to be used in the

---

<sup>11</sup> Annex 11\_NHTSPR Communication Management Decision (CMD)



communication strategy are fora, information kits, social media and websites, events recognizing outstanding data user, manuals, handbook and testimonials from the stakeholders.

These, among other activities included in a public information campaign are important because it informs potential beneficiaries including those who are not likely to benefit from the project, and other NGAs, NGOs, and LGUs. The public information campaign helps to manage expectations, supports transparency, and helps to generate understanding, acceptance, and cooperation among the potential beneficiaries, non-beneficiaries and stakeholders in social protection.

The Public Information Campaign shall inform the general public about the Listahanan Project, particularly on:

1. The requirements of the project, including general description of the criteria identifying who are poor.
2. How the project defines a household.
3. Application and enrolment procedures.
4. Information on where and how to enroll and the deadlines for enrolment.
5. Information about the benefits and projects to be targeted
6. Appeals and complaints mechanisms

## **6. Monitoring and Evaluation**

These project management processes shall serve as a mechanism to track progress on the accomplishment of project deliverables and project outcomes. Deliverables are the outputs of the project; outcomes are the developmental changes resulting from use of outputs.

### **6.1 Project Implementation Monitoring**

The NHTO shall be responsible for collecting information and reporting on progress in project implementation. This will be done by periodic review of annual work and financial plans to ensure that activities and schedules are being complied with vis-à-vis budget allocation. This also involves “spot checks” or random audits during implementation in order to assess if the project was implemented according to its design. Spot checks will be conducted at any point/s from data collection to processing of the final Listahanan database and will look at operational and/or technical aspects of project, as explained further in Section 6.6 below.

Implementation monitoring will help to identify problems, existing and potential, so that solutions or remedies to these implementation constraints can be crafted. The NHTO will prepare quarterly reports containing information on all aspects of implementation.

### **6.2 Outcome Monitoring**

A framework for the Project was developed to provide for a simple yet logical progression of Project activities towards achieving desired outcome. The Results Framework, which shall serve as the project’s planning, monitoring and evaluation tool, was prepared consistent with this document.

Project outputs and outcomes will be evaluated against the indicators in the Results Framework. The Results Framework provides for a system which will allow the Project Management Office to monitor progress towards the achievement of results, if necessary to adjust activities accordingly.

Hence, it should be considered as an evolving document that shall adapt to realities encountered during implementation.

**Table 2: Results Monitoring Framework**

<b>PDO</b>	<b>Project Outcome Indicators</b>	<b>Use of Project Outcome Information</b>
To strengthen the effectiveness of DSWD as a social protection agency to expand an efficient and functional National Household Targeting System.	<ul style="list-style-type: none"> <li>Share of all poor households registered in the Listahanan.</li> </ul>	<ul style="list-style-type: none"> <li>Yr1-Yr2 – Assess progress in building national database of poor households.</li> <li>Yr1-Yr5 – Measure the effectiveness of targeting system for CCT programs</li> </ul>
<b>Intermediate Outcomes</b>	<b>Intermediate Outcome Indicators</b>	<b>Use of Intermediate Outcome Monitoring</b>
A targeting system to select poor households implemented and functioning efficiently.	<ul style="list-style-type: none"> <li>At least 2 major national programs using the Listahanan for selecting their beneficiaries.</li> <li>MIS designed and in operation including integrated data entry application, PMT processing and data management, and sharing capabilities properly functioning.</li> <li>Share of poor households registered in the database receiving benefits of social programs.</li> </ul>	<ul style="list-style-type: none"> <li>Assess whether the Listahanan is being used by national agencies to target poor households.</li> <li>Assess whether the IT infrastructure software and hardware is being developed to support the Listahanan.</li> <li>Assess whether DSWD is making progress in the use of the Listahanan.</li> </ul>

### 6.3 Project Evaluation

This is process where a Project personnel at all levels assess the “gain and pains” of implementation. Basically guided by the workplans and the Progress and Results Monitoring Framework, Project Evaluation will be institutionalized in the Listahanan through the conduct of a] Regional and Cluster Consultations and b] year end Program Implementation Reviews.

### 6.4 The Management Information Review

The MIS will monitor the performance of the Listahanan in relation to established targets and objectives. Among others, the components of the MIS are:

1. Data Entry Module
2. Proxy Means Test (PMT) Module

3. Data Sharing (protocols and security) Module that includes agencies and their respective programs with codes and history of data sharing arrangement
4. Recording Benefits Module which keeps records of all programs that provided benefits to selected poor households.
5. Report Generation Module
6. Updates Module
7. Appeals and Complaints Module
8. Administration Module

The MIS will also include a mechanism to identify household recipients, including a picture of the household representative. Document System Controls will be established. These will consist of information security and access control including the determination of staff that will be authorized to enter and/or make changes to data; network management, including service standards; data transfers; and system reports.

### **6.5 Accountability and Control Mechanism**

These mechanisms endure that the implementation of the Listahanan is kept responsive to the demand for accurate information on the intended recipients of pro-poor programs. These will also address the need for transparency in the disbursement of public funds.

Accountability and control will cover concerns for periodic plans review and updating to ensure that activities, targets and timelines are met; on-the-spot monitoring of physical and financial accomplishments; conduct of performance assessment activities; conduct of consultation sessions with stakeholders and reporting.

Among the mechanisms for public accountability that will be operationalized by the Listahanan are the complaints and appeals and the monitoring and information system where the database of households potentially eligible for social protection programs are kept. With regard to finances, the financial transactions of the Listahanan will be guided by established accounting and bookkeeping policies of the government.

Finally, the staff of the Listahanan will be subjected to the norms of conduct required of a public servant.

Since it may contribute to the improvement or refinement of operational cycle of the Listahanan, process monitoring will be institutionalized as vital feedback and control mechanism. The activity will focus on addressing the following questions:

1. Are eligibility criteria being adhered to?
2. Do the MIS produce timely and reliable data?
3. Are there procedures to ensure the integrity of the MIS? Are these effective?
4. Are the households satisfied with the process of selecting beneficiaries in terms of the accuracy and perceptions of fairness of targeting?
5. Is there an effective and efficient appeals and complaints mechanism? Do beneficiaries understand how they can make use of it?
6. Do beneficiaries and non-beneficiaries understand the project, its objectives, and how it is operated?

Process monitoring will be undertaken by a third party that will be contracted for this purpose. The methodology to be used in this process is random sampling of classified poor households, random sampling of LGU and conduct of focus group discussions with these households and LGU.

## **6.6 Regular Field Monitoring and Spot Checks**

Monitoring visits shall be conducted by the NPMO Project Coordinators. The region(s) concerned are to be informed of the trip to ensure that the regional field personnel (RFC, RFP and the RITO) are available for the exit conference.

Areas to be covered shall be announced only on the day of the visit so that the concerned PC can have a glimpse and the feel of the “natural” situation in the field.

The duration of the monitoring shall be 4 - 5 days including travel time. The same process shall be observed by the RFPs and RFCs in their own monitoring and field visits.

In the course of field monitoring, the following shall be observed:

1. Meeting with the RFP and RFC to discuss the itinerary.
2. The PC shall be accompanied by the RFC, AC and/or AS.
3. Monitoring shall be done by reviewing randomly selected FAF submitted for review and those that have been reviewed by the AS and actual re-interview of randomly selected household using the FAF.
4. In one municipality, at least five re-interviews shall be made. Whether contiguous or not, the monitoring shall cover at least two municipalities per province and one province per region.
5. Two exit conferences will be done: at the field level with the concerned AC and AS; and at the regional level with the RFP and RFC.

In addition to regular NHTO field monitoring, spot checks by an independent or third party consultants / institution will be carried out at different points of project implementation. In general, the spot checks will help assess i) the implementation of the targeting mechanism from the national to the regional levels in accordance with the procedures described in the Operations Manual, ii) different validation routines during data collection and data entry phases, and provide timely feedback to the NHTO for improvement or adjustment. The following areas shall be considered for spot checks: survey implementation, post-enumeration activities including validation processes, data encoding and processing, and database management and application of the PMT.

In the selection of provinces and municipalities to be covered and prioritized, primary consideration will be those that had just started with the enumeration. Secondary are those with reported issues and concerns. The purpose of this is to get them on the right track in case they have difficulties performing and that corrective action can immediately be done. It is therefore incumbent upon the concerned project coordinator to get hold of the encoding and enumeration accomplishment of his/her region.

The major output of the monitoring visit is a documentation report providing comprehensive information on the actual field situation.

The NHTU shall be furnished with an initial report of the concerned PC before the latter's return to the NHTO. An official report will be transmitted to the RPD and/or the DRPM by the NPM.

At the regional level, monitoring reports shall be furnished by the RFP / RFC / RITO to the concerned AC and/or AS, copy furnished the DRPM.

National Household Targeting office  
Operations Manual, Listahanan Project  
January 12, 2015