

**RESEARCH REPORT**

**Rapid Appraisal of the 2011 Data Collection  
for Social Protection Programs  
(PPLS 2011)**

**Hastuti**

**Syaikhu Usman**

**Bambang Sulaksono**

**R. Justin Sodo**

**Asri Yusrina**

**Rahmitha**

**Gracia Hadiwidjaja**

**Prio Sambodho**

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the 2011 Data Collection for Social Protection  
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**The SMERU Research Institute  
Jakarta  
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# RESEARCH TEAM

## **SMERU Researchers**

Hastuti

Syaikhu Usman

Bambang Sulaksono

R. Justin Sodo

Asri Yusrina

Rahmitha

Gracia Hadiwidjaja

Prio Sambodho

## **Field Researchers:**

Basyri Nasution

Muhammad Imam Zamroni

Asep Kurniawan

Muhammad Badar

## **Translators:**

Stephen Girschik

Mukti Mulyana

Budhi Adrianto

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## ABSTRACT

To support the implementation of numerous social protection programs and the development of a Unified Database for Social Protection Programs, Statistics Indonesia (BPS), in coordination with the National Team for Accelerating Poverty Reduction (TNP2K) and World Bank, conducted the 2011 Data Collection for Social Protection Programs (PPLS 2011). PPLS 2011 was implemented in order to build a unified database system containing information on all the 40% poorest households in Indonesia which will be used for the purpose of targeting social protection programs to eligible beneficiaries. To achieve this goal, around 45%-50% of low to lower middle socioeconomic households have been enumerated as part of the PPLS 2011 implementation.

In order to assess the quality of PPLS 2011, the SMERU Research Institute carried out a rapid appraisal of its implementation in four provinces covering eight *kabupaten/kota*, and sixteen villages/*kelurahan*. This appraisal was formulated based on interviews with BPS staffs in *kabupaten/kota* and *kecamatan* (KSK), regional government officials, field enumerators (PCL), field supervisors (PML) and 253 households. In this qualitative study, SMERU also observed training, data collection, data verification and data entry activities.

In this appraisal, SMERU finds that PPLS 2011 has a number of improvements compared to previous data collections used to determine social protection program beneficiaries, namely the 2005 Socioeconomic Census (PSE 2005) and the 2008 Data Collection for Social Protection Programs (PPLS 2008). Some of these improvements are: a far greater coverage of households, clearer Standard Operating Procedures (SOP), the use of pre-listed lists of households as starting points based on technical analysis of census data, the neutral association of PPLS 2011 to any programs, and the more detailed household information. Meanwhile general criticisms of PPLS 2011 are: the survey was perceived as being too centralized and/or insufficiently able to accommodate local socioeconomic characteristics, socialization to the community was limited, the criteria of low to lower middle socioeconomic households were not clear, and there were indications of possible under-coverage of households in some areas.

This study offers several important recommendations that may be useful for future rounds of data collection for social protection programs. First, a fine, precise and firm explanation on the purpose of PPLS should be given to all stakeholders, including the general population. Second, in order to get high quality partners, enumerators must be recruited through an open and objective recruitment process. Third, more precise and clearer definitions of what constitutes a low to lower middle socioeconomic household should be defined well in advance. Fourth, training and field supervision activities should be improved.

Key words: poverty, unified database, middle to low socioeconomic household, social protection program.

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## LIST OF ABBREVIATIONS AND ACRONYMS

ATK	alat tulis kantor	office stationeries
Bakohumas	Badan Koordinasi Kehumasan Pemerintah	Government Public Relations Coordinating Body
BKN	Badan Kependudukan Nasional	National Population Agency
BLT	Bantuan Langsung Tunai	Direct Cash Transfer
BPS	Badan Pusat Statistik	Statistics Indonesia
BPD	Badan Perwakilan Desa	Village Representative Body
BS	blok sensus	census block
BUMD	Badan Usaha Milik Daerah	Region Owned Enterprise
BUMN	Badan Usaha Milik Negara	State Owned Enterprise
CD	<i>compact disk</i>	compact disk
Dusun	-	hamlet
ELL	<i>Elbers, Lanjouw &amp; Lanjouw</i>	Elbers, Lanjouw & Lanjouw
IPDS	Intergrasi Pengolahan Diseminasi Statistik	Intergrated Management for the Disemination of Statistics
Inda	instruktur daerah	regional instructor
Innas	instruktur nasional	national instructor
Intama	instruktur utama	core instructor
Jamkesmas	Jaminan Kesehatan Masyarakat	Health Insurance for the Poor
K/L	kemeneterian/lembaga	ministry/institute
Kabupaten	-	district
Kecamatan	-	sub-district
Kelurahan	-	village (urban environment)
KSK	koordinator statistik kecamatan	<i>kecamatan</i> statistics coordinator
LS	PPLS 2011.LS	Pre-listed list of households used as a benchmark
Lorong	-	deputy village head
Lurah	-	head of <i>kelurahan</i>
MK	monitoring kualitas	quality monitoring
NTB	Nusa Tenggara Barat	Nusa Tenggara Barat
PCL	petugas pencacah lapangan	field enumerators
Pemda	pemerintah daerah	regional government
PKH	Program Keluarga Harapan	Family of Hope Program
PML	petugas pemeriksa lapangan	field inspection officers



PMT	<i>proxy means test</i>	proxy means test
PNS	pegawai negeri sipil	civil servant
PODES	potensi desa	village potential (survey of)
POLRI	Kepolisian Negara Republik Indonesia	Indonesian National Police Force
PovTar	<i>poverty targeting</i>	Poverty targeting
PPLS2008	Pendataan Program Perlindungan Sosial 2008	2008 Data Collection for Social Protection Programs
PPLS2011	Pendataan Program Perlindungan Sosial 2011	2011 Data Collection for Social Protection Programs
PSE2005	Pendataan Sosial Ekonomi 2005	2005 Socioeconomic Data Collection
Rateknas	Rapat teknis nasional	National Technical Meeting
Raskin	Beras untuk Keluarga Miskin	Rice for the Poor Program
RK	PPLS2011.RK (rekapitulasi hasil pencacahan)	A recapitalization form of the results of 2011 PPLS Data Collection
RT	rukun tetangga	Neighborhood unit (smallest administrative unit)
RTS	rumah tangga sasaran	targeted household
RTSP	PPLS2011.RTSP (rumah tangga dari daftar awal yang pindah)	A form listing all households from the pre-listed list which have already moved
Ruta	rumah tangga	Household
RW	rukun warga	community unit (second smallest)
Sekcam	sekretaris kecamatan	Sub-district secretary
SKPD	Satuan Kerja Perangkat Daerah	Local Governmental Working Unit
SLS	satuan lingkungan setempat	local administration unit (RT & RW)
SMA	Sekolah Menengah Atas	Senior High School
SMP	Sekolah Menengah Pertama	Junior High School
SOP	standard operating procedure	standard operating procedure
SP2010	Sensus Penduduk 2010	2010 Population Census
SP2010-WA	sketsa peta wilayah SP2010	regional sketch maps of SP2010
SPDKP07	Suvei Pelayanan Dasar Kesehatan dan Pendidikan 2007	2007 Survey of Health and Education Basic Services
SUSENAS	Survei Sosial Ekonomi Nasional	National Socioeconomic Survey
SW	PPLS2011.SW (rumah tangga tambahan)	A form used to list eligible households not yet included in PPLS2011.LS

TNI	Tentara Nasional Indonesia	Indonesian Armed Forces
TNP2K	Tim Nasional Percepatan Penanggulangan Kemiskinan	The National Team for Accelerating Poverty Reduction
VL	garis kerentanan	vulnerability line

# EXECUTIVE SUMMARY<sup>1</sup>

Poverty reduction is one of the main priorities within the Indonesian government development agenda. To support this mission, the National Team for the Acceleration of Poverty Reduction (*Tim Nasional Percepatan Penanggulangan Kemiskinan*, TNP2K) has been established under the Office of the Vice President to lead the coordination of the national poverty reduction strategy. One of TNP2K's key priorities is the development and management of a unified database of all the poorest households in the country who are potentially eligible to receive poverty reduction program benefits. The main source of data for the Unified Database is the Data Collection for Social Protection Programs (Pendaftaran Program Perlindungan Sosial - PPLS) survey of 25 million households conducted by the Indonesian Bureau of Statistics (BPS) in July-August 2011.

Efficiently and accurately reaching the poorest households (“targeting”) has proven to be an important challenge in the improvement of social protection programs. Previously, different social protection programs in Indonesia have used different targeting methodologies and data to select which households are eligible to receive social benefits from the government including cash transfers for the poor (*Bantuan Langsung Tunai – BLT*; *Program Keluarga Harapan - PKH*), health insurance (*Jaminan Kesehatan Masyarakat-Jamkesmas*), subsidized rice for poor households (*Beras untuk Rumah Tangga Miskin - Raskin*), and scholarships for poor children (*Beasiswa untuk Siswa Miskin - BSM*). Research has shown that many of these programs were not accurately reaching their intended coverage groups of poor households/beneficiaries, however, which has limited program effectiveness.

In order to address this challenge and ensure better targeting of social protection programs, the TNP2K secretariat has worked together with Statistics Indonesia and government agencies implementing social programs to make an effort to improve the accuracy and accessibility of data on poor households through creating the Unified Database for Social Protection Programs. The implementation of 2011 Data Collection for Social Protection Programs (PPLS 2011) which was intended to cover the lowest 40 percent of all the nation's poorest households was the critical first step in building this new system, which is expected to be regularly updated and to continue to be used for many years to come in the future.

To assess the quality of PPLS 2011, TNP2K requested the SMERU Research Institute to carry out a rapid assessment on its implementation. Findings of this study are hoped to provide inputs for the improvement of PPLS 2011 or any future data collection activities. The appraisal uses qualitative methods supplemented with quantitative analysis. Field visits were conducted during the second and third weeks of data collection in Kabupaten Tapanuli and Kota Sibolga of North Sumatera Province, Kabupaten Demak and Kota Semarang of Central Java Province, Kabupaten Cianjur and Kota Sukabumi of West Java Province, and Kabupaten Bima and Kota Bima of West Nusa Tenggara (NTB) Province. In total, the study covers four provinces, eight *kabupaten/kota*, and sixteen village/*kelurahan*<sup>2</sup>. During those visits, interviews were conducted with staffs of *kabupaten/kota* BPS, statistics coordinators of *kecamatan (KSK)*, PMLs, PCLs, regional/local government officials, local leaders/the heads of SLS (usually an

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<sup>1</sup>Findings from this study were already presented to the TNP2K while the 2011 PPLS was still running, so some of the recommendations have actually been adopted for better program implementation.

<sup>2</sup>A *kelurahan* is a village-level administrative area located in an urban center.

RT/RW/*dusun/lorong*/neighborhood)<sup>3</sup>, and 256 households. The SMERU research team conducted field observations of training, enumeration and data entry activities, and verifications of household data.

Overall, SMERU finds that PPLS 2011 has a number of improvements compared to previous data collections by the BPS used to determine social protection program beneficiaries, namely the 2005 Socioeconomic Census (PSE 2005) and the 2008 Data Collection for Social Protection Programs (PPLS 2008). These improvements include: a far greater coverage of households, clearer Standard Operating Procedures (SOP), the use of pre-listed lists of households as starting points based on technical analysis of census data, the neutral association of PPLS 2011 to any programs, and the more detailed household information included in the survey. Meanwhile, some of the main criticisms of PPLS 2011 include: the survey was perceived as being too centralized and/or insufficiently able to accommodate local socioeconomic characteristics, socialization to the community was limited, and there were indications of possible under-coverage of households in some areas.

Weaknesses were found in the recruitment and training of BPS enumerators and supervisors, including that the test conducted at the end of the training session only functioned as a formality. Further, training materials presented did not put enough emphasis on the principle of ‘maximum inclusion’ (encouraging enumerators to include all potentially poor households) and did not sufficiently cover the topics of supervision and quality inspection. In addition, the socialization of PPLS 2011 to the community was very limited, and those in the field wished to have clearer information on the criteria of low to lower middle socioeconomic households. In terms of the use of pre-listed lists based on census data, some households included in the lists appeared in fact to be upper middle to upper socioeconomic households, while others considered to be of low to lower middle socioeconomic status were excluded from the lists.

## **Implementers**

In the institutional structure of PPLS 2011, every *kabupaten/kota* BPS office has PCLs, PMLs, and data entry staffs who in most cases are long time partners of BPS. The recruitment process was generally easy to manage, and the recruitment criteria were generally adhered to although this depended on the human resources available in each area.

PCLs were recruited by the *kabupaten/kota* BPS staffs or the statistics coordinators of *kecamatan*, with approval of the head of village/*kelurahan*. In recruiting PCLs, there were four criteria to be fulfilled by prospective PCLs; a minimum of senior high school graduate, experience in any of BPS enumerations (must include experience in the 2010 Census) with good performance; honest and obedient; and knowledge of areas to be enumerated. Most PCLs were local residents who work in the village/*kelurahan* offices who had prior experiences doing survey enumeration with the BPS, particularly during the 2010 population census. In a few locations, due to limited human resources available, PCLs had to be recruited among junior high school graduates or elders.<sup>4</sup> In a few cases, PCLs who did not satisfy the required criteria were employed based on the submission of the head of village/*kelurahan*.

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<sup>3</sup>An RT, or neighborhood unit, is the smallest unit of local administration consisting of a number of households; an RW is a unit of local administration consisting of several RT within a *kelurahan*; a *lorong* is an administrative area (particularly in Sumatra) within a *kelurahan*, consisting of several RT; a *dusun* is an administrative area within a village, consisting of a number of RT.

<sup>4</sup>The requirement states that PCL must be at least senior high school graduates, have experiences and outstanding work ethics.

Three weeks after enumeration had begun, PCLs had not yet received their employment contract and only a few had signed the contract. This situation left PCLs with no work-risk related insurance which they were entitled to as enumerators. Some PCLs whose responsibilities cover large areas also complained on the fact that the travel allowance had not been distributed.

In general, PMLs functioned as both field supervisors and data entry staffs; the two functions often overlapped in their schedule. Moreover data entry staffs and PMLs who hold daily occupations as the *kecamatan*-level statistics coordinators were still being burdened by their regular duties as BPS staffs during the period of enumeration. The multi-tasking of PMLs has the potential to eventually disturb their performance in PPLS assignment.

In general, the numbers of PCLs and PMLs were considered sufficient and the size of workloads for each of them was in proportion to the allocated time. Complaints however were received from PCLs who had to cover large areas or experienced difficulties in finding households, and from PMLs who were still being burdened by their regular work. The salary paid however was considered appropriate given the subsequent workloads and time-length.

## **Socialization**

Socialization of PPLS 2011 to related governmental institutions and internal BPS was presented formally at each bureaucratic level from the central level to *kabupaten/kota*. Socialization to the community and local leaders on the other hand was presented informally. For the sake of implementing PPLS 2011, the formal socialization which included all relevant governmental institutions except for the village institutions and local leaders in some *kabupaten* is considered to be sufficient. From a greater view of implementing social protection programs, however, the coverage of socialization in several *kabupaten/kota* was too limited.

Socialization materials informed through meetings, especially those held internally in BPS, were considered comprehensive although the level of understanding of PCLs and PMLs varied. Some PCLs and PMLs for example had some confusion surrounding the coverage level of 40% of households nationally – this figure was sometimes interpreted as a maximum percentage of households that could be surveyed, although in fact there was not supposed to be a any maximum limit. Further, the 40 percent figure was based on the overall target coverage for the unified database at the national level (with significant variation above/below at lower geographic levels), but it was sometimes interpreted as a target coverage level at the village/*kelurahan* level or even at the level as small as SLS. Furthermore most PCLs did not understand the objectives, the basic concepts, and the meaning of national unified database thus they spontaneously linked PPLS 2011 to aid provision.

In general, the information received by village officials varied and was relatively limited. There are also varieties in how socialization to village/*kelurahan* institutions was presented. Presentations in some areas were considered better than the previous data collections. In Kota Bima and Kota Sibolga, heads of *kelurahan* were invited to the formal PPLS socialization at the *kabupaten/kota* level. In West Java Province and Central Java Province, heads of villages/*kelurahan* received information from the *kecamatan* statistics coordinators through meetings held at *kecamatan* offices. In other areas, heads of villages/*kelurahan* received limited yet relatively more information through letters issued by *kecamatan* or BPS office or through an announcement from the *kecamatan* statistics coordinators, PML, and PCL. Most local leaders or officials who did not attend the meetings only knew that PPLS 2011 was an ordinary data collection or an update of the 2010 Population Census (SP 2010).

The BPS faced some challenges in developing a strategy for socialization about PPLS to the general public/poor households. On the one hand, transparency was desirable to facilitate community understanding and ensure coverage of poor households; at the same time, there were some concerns that too much socialization about the survey (or mentioning that the survey had a relationship with aid) could result in more households demanding to be enumerated, which could pose difficulties in the field given time/resource constraints. As a result, Socialization to the general public was generally only given to the enumerated households, causing the spread of information to be disordered and partial, and leading people to speculate on the possibility of aid being distributed after the data collection. This speculation was made stronger by several factors such as the use of the term “social protection” in the PPLS 2011 title, statements from several PCLs, and news in the media.

## **Training**

Training for the enumeration were undertaken in stages. Training in the central and provincial levels was conducted for instructors while that in the *kabupaten/kota* levels were intended for PCLs and PMLs.

In general, training of the enumerators were considered well performed and adequate. All instructors appeared to master the materials although variations in teaching skills were found especially in areas with many instructors. Nevertheless most trainees were experienced in data collection and as a result were able to easily understand the terms or concepts being taught. One issue was related to the timing of training in the *kabupaten/kota* level, which ended right before or in some cases even after the data collection started; PCLs and PMLs would have benefited from more time to study the PPLS 2011 guidelines.

Training at the *kabupaten/kota* level mainly focused on the enumeration mechanisms/materials. Meanwhile materials on supervision, the main objectives of PPLS 2011 (i.e., to unify data), the principle of maximum coverage, and the differences between PPLS 2011 and other data collections were not discussed thoroughly. Written tests (to verify comprehension of the training materials) functioned only as a formality without being checked or discussed afterwards; in some areas, no tests were even conducted thus diminishing the benefits of the training.

The duration of the *kabupaten/kota* trainings was relatively insufficient, with the result that some parts of the materials were not properly covered. Although PCLs and PMLs are the ‘spearheads’ with varying levels of skills and backgrounds within the enumeration process, trainings for PCLs and PMLs in *kabupaten/kota* lasted effectively for about eight to nine hours which was much shorter than the three-day training at the national level.

Manuals and pocket handbooks were found to be useful. The manual however was considered to be too detailed and not attractively designed, discouraging PCL from actually reading it. Meanwhile the pocket handbook was viewed to be dense yet somewhat not comprehensive. Neither book explains with sufficient clarity several important concepts such as the rate of coverage of households at the local level and the definition of low to lower middle socioeconomic households.

## **Household Targeting**

The methodology used to identify which households should be enumerated involved several technical steps: 1). Determining a quota of poor households at the village level through a type of small-area poverty mapping estimation; 2) Determining a “pre-listing” of households to be

enumerated (based on Susenas, census, and Podes); 3) Identifying households to be enumerated using other data sources in the field (consultation with poor households, “sweeping” by enumerators, and matching with PPLS 2008 and PKH waiting list). The different steps of this methodology were developed with the goal of increasing the accuracy of PPLS in targeting the poorest households and reducing under-coverage by cross-checking multiple data sources.

The central BPS office, working in cooperation with TNP2K and with technical assistance from the World Bank, was responsible for determining initial “quotas” (number of households on the pre-listings of households to be enumerated in PPLS) from the national to the SLS level as well as the content of the pre-listed lists (LS List). These lists contain the names of households required to be enumerated. The lists were generated by applying a statistical model based on National Socioeconomic Survey (Susenas) data to the 2010 Population Census using technical software developed by Elbers, Lanjouw, and Lanjouw (ELL). Overall, the quota was viewed to be corresponding to the conditions of the areas. The pre-listed lists (LS list) however contained some inaccuracies in which some of the households included were considered by the community to be non-poor, or in other cases, the list were considered to not contain large enough numbers of households. In response to these problems, BPS issued a statement that enumerators should cross out (by marking them with a code ‘9’ on the pre-listing form) ineligible households -- households with government employees, military staffs, the police forces, national/regional state-owned company employees, legislators, or bachelor’s degree (S1) graduates -- and should add eligible households from PPLS 2008 and PKH waiting lists through a matching process.

The criteria of ineligible households were extended to also weigh on financial conditions and fixed income which tended to be subjective and locally specific. The proportion of households crossed out within the 44 SLSs sampled in this study was between 0% and 70%, or an average of 25% per SLS with Kabupaten Bima obtaining the highest proportion of 41%. The deleted households generally were those perceived as not belonging to the poor or the very poor categories, but this could be a source of potential undercoverage because some near poor households were also deleted.

The targeting mechanism pre-designed to include additional households to be enumerated was not consistently conforming to the criteria. There were some violations such as (i) consultation of the presence of pre-listed households with the head of SLS was sometimes added by consultation on the socioeconomic condition of households in the list or those who were not yet included, (ii) intervention from local authorities and the neighborhood unit leaders with regard to the list of enumerated households, and (iii) consultation with three poor households to check if there were households with the same or lower economic conditions which were not yet included in the LS List was not done according to the SOP.

In general, sweeping by PCL which was undertaken through a combination of field observations and consultations with enumerated households was the main tool used to identify additional households. The process of adding new households to the list tended to be subjective as there were no clear criteria of low to lower middle socioeconomic households. Since there were some misperceptions on the concept of quota and the coverage of PPLS 2011, usually only households that were considered to be poor and very poor were added to the list. In general, however, this sweeping and consultation process was viewed as helping to ensure that the lists were more inclusive of households considered by the community to be poor but who may not have been captured in the statistical modeling process used to make the pre-listings.

The final list of household to be enumerated was generally perceived by communities as being accurate, covering low to lower middle socioeconomic households, but in almost all sample areas there were some indications of under-coverage. This may have happened in part because PCLs were not always correct in their decisions to cross out or to add additional households, given that the poverty status of all households is usually not known precisely. PCLs were somewhat influenced by the assumption that there should not be no more than 40% of households included (conforming to the national coverage), and that there would be a governmental assistance after the data collection which would only be given to poor households.

## **Enumeration**

Enumeration of households was conducted by PCL under the monitoring of PML. The enumeration started a few days after the initial plan because the training and logistics distribution were falling behind schedule and PCL found difficulties to meet with village/*kelurahan* officials. Although the delay was relatively short, the tight enumeration timeframe caused the delay to have significantly cut the time needed to complete the enumeration and for PCL and PML to examine the filled-in questionnaires.

Questionnaires were generally filled based on instructions through direct interviews at the households' residences. There were occasional cases of violations such as performing group enumerations, not conducting direct interviews, using already available secondary data, and conducting enumerations in the presence of non-members of the household.

The performance of PCL in conducting interviews and enumeration is relatively good, although in some study areas, several PCL made mistakes in completing the questionnaires. After comparing the questionnaires completed by SMERU and those done by PCL, it was found that about 15% of the cells contained different answers. The different answers were mainly found in questions of working hours, household floor areas, class, and occupational status. Kabupaten Tapanuli Tengah has the smallest amount of differences (2%) while Kabupaten Cianjur has the biggest (37%). These problems occurred possibly due to the quality of human resources and violations in conducting the enumeration procedures in Kabupaten Cianjur.

## **Monitoring**

Some PMLs had not performed their duties properly. Especially in Kabupaten Demak and Kabupaten Cianjur, PML focused more on how to cope with potential social repercussions, distracting their attention from the technical aspects of the enumeration. Document examinations by some PMLs were limited to cover only details that did not require field verification.

Most PMLs had not utilized the short message service (SMS) gateway facilities to report the recapitulation of enumeration. The reasons given were; technical problems, unfinished enumeration work, and PML's misunderstanding that they should only report the recapitulation to BPS *kabupaten/kota* office. In addition, PML did not enumerate households that had changed their address (listed in the RTSP List) which was in fact part of the job description

## **Data Entry**

The data entry activities in PPLS 2011 were scheduled to be done at the BPS *kabupaten/kota* office. Due to some delays in the enumeration schedule and in the readiness of the data entry software, many areas had not started the data entry process, so SMERU's observation of this process was limited. Nonetheless, BPS predicted at the time of the study that the data entry



process could be done in time. In areas where the number of questionnaires was quite large, there were plans to send some of the questionnaires to another *kabupaten/kota* or province to be processed.

The concept of data processing being used was considered suitable as there were several stages of data checking and cleaning before and after the data entry process. Nevertheless, based on several limited observations, there were some aspects that could delay the whole process, like: the data entry activities in some areas were not concentrated in one place causing monitoring to be difficult; and there were some problematic details in the design of the data entry software that might limit optimization of the data entry.

## **Responses on the Implementation of PPLS 2011**

Overall, PPLS 2011 is considered to be better than previous data collection programs like the 2005 Socioeconomic Data Collection (PSE 2005) and PPLS 2008. PPLS 2011 covers a wider range of households; includes a process of consultation with poor households and sweeping to reduce the possibility of leaving out eligible households; has clearer standards of procedures; uses a pre-listed list as an objective starting point; and provides more detailed information about households. However, there are criticisms of PPLS 2011 concept and design which are; that they are considered to be too centralized and unable to accommodate local criteria of poverty such as the ownership of livestock and farming fields. PPLS 2011 is also considered to not provide clear concepts and criteria of what constitute a low to lower middle socioeconomic household.

Some governmental institutions, especially those at the *kecamatan* level and below, are worried of potential negative impacts from the implementation of PPLS 2011 – particularly those who were affected by the trauma caused by the chaotic situations surrounding the Socioeconomic Data collection (PSE) 2005 and subsequent distribution of the direct cash transfer program (BLT). The negative experience has taught them to be more cautious; some of them even showed resistance to any poor household enumeration activities. Some PCL and PML also claimed to have shared the same type of trauma.

The community accepted the implementation of PPLS 2011 in a better and calmer manner, although some people expressed that they felt bored by various BPS data collection efforts which they did not regard as beneficial. They did not know the precise objectives of PPLS 2011 and several of them assumed that there would be some forms of governmental aid following the data collection.

The concepts, methods, and procedures underlying PPLS 2011 have many favorable aspects; most problems found in this study were at the level of implementing these core concepts. The improvements in the targeting methodology and increased household coverage are innovations that are expected to prevent exclusion and inclusion errors, so that PPLS 2011 may provide a high-quality database to support the implementation of various poverty reduction programs. Nonetheless more efforts to improve the data quality and its utilization, as well as avoiding the possibility of public protests, are still very much needed in the future.

## **Recommendations**

1. Field implementers (enumerators, field supervisors, and data entry staffs) should be strictly recruited based on the established requirements and criteria. Concurrent employment (having two or more jobs) must be prohibited. The employment of BPS partners and staff of village/*kelurahan* institutions may be continued provided that performance is still the main consideration.

Socialization on the purpose of data collection needs to be disseminated openly to those involved in its implementation. If the socialization is deliberately designed to be limited, the information that is provided should be uniform, clear, and sensible. Several basic concepts need to be clearly explained to field staff to avoid any misperception. Since there were rumors circulated that the PPLS2011 would be followed by aid, there needs to be further socialization to clarify to the community about how the PPLS/unified database information will be used to select beneficiaries for different existing programs.

2. The duration of training, particularly for the enumerators (PCL), should be prolonged so that all agendas and materials can be fully covered. Simpler and easier to understand materials are needed while additional materials on supervision should be provided for PML. Manuals should be easier to understand and contain information that is comprehensive, and are more interesting to read. In selecting instructors, selection criteria must be fulfilled and a possibility to use instructors from other areas when needed should be an option.
3. In determining targeted households, the matching process between pre-listed lists of households and other data should be finished at the central level to reduce workloads of field staff. The pre-listed lists need to be reviewed first by *kabupaten/kota* BPS to reduce errors of incorrectly listed households. There needs to be a guide and clear criteria on several key understandings, like what constitutes a low to lower-middle socioeconomic household. Concepts which are in fact unnecessary to be used in the field like the “40% quota” should not be mentioned so as to avoid misunderstanding. The consultation mechanism with poor households should be continued but adjusted in order to strengthen the implementation/enforcement. Involvement of village/*kelurahan* should be minimized but they still can function as sources of information.
4. In the process of data collection, there needs to be a mechanism that ensures implementation adheres to the SOP. In addition, the questionnaire might benefit from slight adjustments so that it is better able to capture the socioeconomic condition of residents, like additional variables of the ownership of livestock and agricultural land, deletion of ownership of mobile telephones, as well as setting clearer limits/definitions on a few variables like the area of a house and employment.
5. The inspection and supervision functions need to be strengthened, without employing BPS and KSK staff as PML. This would allow the inspection and supervision to be stricter in each level, where BPS/KSKs supervise PMLs and PMLs supervise PCLs.
6. Data entry should be assigned to specific staffs and performed in one concentrated location to make supervision easier. Software should be prepared well in advance with a user friendly format. Before entering the data, the contents of the questionnaire needs to be rigorously reviewed to avoid data that is incomplete, incorrect or inconsistent.

7. The time allocated for the implementation of PPLS2011 needs to be prolonged, which is important especially in providing PML with enough time to review and correct mistakes found in questionnaires and lists of households.
8. Further activities to increase the level of data accuracy can take the form of verification activities such as random “spot-check” audits, at least on the accuracy of the number of households being covered, and ideally also on the survey content and/or data entry quality. On a limited scale, this can be done in several sample areas. There should be clear penalties implemented, such as deductions in pay, when the results of “spot checks” show inadequate performance.

# I. INTRODUCTION

## 1.1 Background

The Government of Indonesia has committed to accelerating poverty reduction during the next few years, with a target of reducing the level of absolute poverty from 14.1% in 2009 to between 8%-10% in 2014. To support this goal, Presidential Regulation (No. 15/2010) established the National Team for the Acceleration of Poverty Reduction (*Tim Nasional Percepatan Penanggulangan Kemiskinan*, TNP2K) to lead the coordination of the national poverty reduction strategy. With Vice-President Boediono as the chair, TNP2K includes all government agencies responsible for the planning, financing and implementation of poverty reduction programs.

One of TNP2K's key priorities is developing and managing a unified database of all the poorest households in Indonesia who are potentially eligible for poverty reduction programs. Comparable to international systems such as *SISBEN* in Colombia and *Cadastró Unico* in Brazil, this database will be used to extract lists of beneficiaries eligible to receive social protection benefits from different agencies/programs targeted to the poor such as conditional cash transfers (Program Keluarga Harapan – PKH), health insurance (Jaminan Kesehatan Masyarakat – Jamkesmas), subsidized rice (Beras untuk Rakyat Miskin - Raskin), scholarships (Beasiswa untuk Siswa Miskin), etc.

Until now, various social protection programs have used different systems for “targeting” (identifying beneficiaries) and have relied upon databases of varying quality. This has impacted the effectiveness of the implementation of these programs while also resulting in inefficiencies and duplication of efforts. As a result, improving the targeting of beneficiary households is an important challenge for enhancing social protection programs so that they can function more optimally.

The development of the Unified Database for Social Protection Programs is being led by the TNP2K Sekretariat working in close partnership together with the Indonesian Bureau of Statistics (BPS), government ministries involved in social protection, and with technical assistance from the World Bank and Ausaid. The primary data source for the unified database will be the PPLS survey of 25 million households conducted by the Indonesian Bureau of Statistics (BPS) in July-August 2011.

The unified database housed at TNP2K is anticipated to be the largest database of its kind in the world. Agencies involved in social protection efforts will be encouraged to access and use the unified database as a basis for determining which households are eligible. It is expected that the main users who will benefit from the unified database include government ministries (Ministry of Health, Ministry of Education, Ministry of Social Affairs, etc) and other parties involved in providing social protection programs.

The BPS has previously conducted similar data collection initiatives in 2005 and 2008 (Socioeconomic Data Collection – *PSE 2005* and Data Collection for Social Protection Programs – *PPLS08*); these surveys were used to determine beneficiaries/quotas for social programs in Indonesia such as the direct cash transfer (BLT). PPLS 2011 aims to improve upon these efforts by providing an updated database with improved methodology to reduce errors in targeting. In an effort to reduce the under-coverage of poor households, for instance, PPLS 2011 will survey around 45%-50% of households, with the goal of ensuring that at least

the 40% of households/families with the lowest socioeconomic conditions in Indonesia are included. By contrast, PPLS 2008 covered less than 30% of all households.

For the purposes of knowing the quality of implementation of PPLS 2011 in producing a database that is accurate and supports the targeting of social protection programs, field evaluation and observation of PPLS 2011 is very important. For this reason, the TNP2K has requested the SMERU Research Institute to carry out a rapid assessment of the implementation of PPLS 2011.

## 1.2 Research Aims

This assessment aims to follow the implementation of PPLS 2011 in the field, including:

- a) Provision of documentation of the process involved in implementing PPLS 2011
- b) Evaluation of the methodology used in each stage of PPLS 2011 process (training, the enumeration process, data collection, and data entry)
- c) Analysis of perceptions/satisfaction of parties involved in PPLS 2011 (*kabupaten/kota* BPS staff, PML PCL, the leaders of local government (*kecamatan*), village/*kelurahan* and RT (rukun tetangga) as well as households)
- d) Identification of early indicators of risks to the quality of PPLS 2011 data that may require special attention in subsequent stages of analysis and data interpretation.

The expected result of learning from the implementation of PPLS 2011 will provide inputs for BPS and TNP2K in improving the implementation of PPLS 2011 and in planning future PPLS or unified data collection activities.

## 1.3 Research Methods

Rapid assessment of PPLS 2011 was conducted using a qualitative method supported by quantitative analysis for some aspects. Data and information was collected using structured guided-questions and observation guidelines that were prepared prior to the commencement of the fieldwork, and the PPLS 2011 household questionnaire.

The field research was carried out in the last week of July until the second week of August 2011 with visits to eight districts/cities in four provinces: the Kabupaten Tapanuli and Kota Sibolga in the North Sumatera Province; the Kabupaten Demak and Kota Semarang in the Central Java Province; Kabupaten Cianjur and Kota Sukabumi in the West Java Province and Kabupaten Bima and Kota Bima in Nusa Tenggara Barat Province. The selection of provinces and *kabupaten* is based on the areas SMERU studied when researching BLT 2005 and BLT 2008 so that there was an existing supply of data and relevant information. Meanwhile, the choice of *kota* was based on location, which needed to border the selected *kabupaten* to make it easier and quicker to visit the field research sites. In every *kabupaten* and *kota* two *kecamatan* and two villages/*kelurahan* were visited. Villages and *kecamatan* were located within *kabupaten* that were previously a SMERU research area; whereas *kelurahan* and *kecamatan* in *kota* were areas within the city center and had a relatively high percentage of PPLS 2011 household/family quota. The study areas can be seen in Table 1.

Two local administration units (SLS)<sup>5</sup> in each village/*kelurahan* were selected to be visited applying the same criteria used to choose the *kecamatan* and village/*kelurahan*. In practice, some initially selected SLS were shifted towards the SLS who had actually completed their PPLS 2011 enumeration. This occurred because when the SMERU research team made their field visit, the amount of SLS in the selected villages/*kelurahan* which had finished their PPLS 2011 enumeration was very limited.

**Table 1. List of the Study Areas**

Province	District/City	<i>Kecamatan</i>	Village/ <i>Kelurahan</i>
North Sumatera	Kab.Tapanuli Tengah	Sorkam	Teluk Roban
		Sibabangun	Mombangboru
	Kota Sibolga	Kota	Pasar Belakang
		Sibolga Selatan	Aek Muara Pinang
West Java	Kab.Cianjur	Cibeber	Girimulya
		Cugenang	Cibulakan
	Kota Sukabumi	Cikole	Subangjaya
		Warudoyong	Dayeuhluhur
Central Java	Kab. Demak	Karang Tengah	Wonoagung
		Wedung	Berahan Wetan
	Kota Semarang	Semarang Utara	Plombokan
		Semarang Barat	Kembangarum
West Nusa Tenggara	Kab. Bima	Wera	Nunggi
		Monta	Simpasai
	Kota Bima	Mpunda	Manggemaci
		Rasanae Barat	Tanjung

During this field visit the research team conducted interviews with several parties directly connected with the implementation of PPLS 2011, including households. Besides that, the research team also observed enumeration activities in each selected *kecamatan* for village/*kelurahan* outside the scope of study, and observed data entry at the *kabupaten* and *kota* offices of BPS where data entry duties were being carried out.

Households were selected purposely and with variation based on their status and role in PPLS 2011. This was because in PPLS 2011, the central BPS prepared a pre-listed list of potential households to be enumerated as part of the PPLS 2011.LS form (LS List). On this list, five households were given a ‘#’ mark which indicated that they were the poorest households in the relevant SLS. PCL can add two households to be enumerated to the PPLS 2011 SW (SW list) based on the results of consultation with three households who appear on the LS List (one of which having a # mark) and sweeping. In each SLS, the research team chooses four households for in-depth interviews. These households consisted of: those appearing on the LS List who do not have a ‘#’ mark; households on the LS List who have a ‘#’ mark who were invited to be consulted by PCL; households appearing on the SW List, and; households not

<sup>5</sup>A local administration unit (SLS) is the area at which the data collection is based; it is a unit of neighborhood or settlement under a village/*kelurahan* administration that has specific organizational structure and is formally recognized by the local government where it is located. Depending on the characteristics of an area, an SLS can be an RT, RW, *dusun*, *lorong*, *lingkungan*, *lorong*, or *kampung*.

being enumerated (non-PPLS) yet whom head of their RT/RW/*dusun* or other households deemed to be in the low to lower middle socioeconomic group. In an effort to know the quality of PCL in conducting their enumeration, the research team also interviewed four other households using a PPLS questionnaire from BPS. The results of this were compared with the responses in PCL questionnaire. In brief, the amount of samples and informants at these discussions can be seen in Table 2.

**Table 2. Number of Samples and Type of Respondents**

Sample name	Total	Per District/City	Informant/Respondent
Province	4	-	-
District/City	8 (4 districts + 4 cities)	-	- Head of BPS - Instructor - Responsible for data entry - Data entry officer
<i>Kecamatan</i>	16	2	- Camat/secretary kecamatan - Kecamatan Statistics coordinator(KSK) - Field Supervisor (PML)
Village/ <i>kelurahan</i>	16 (8 villages + 8 <i>kelurahan</i> )	2 (1 village + 1 <i>kelurahan</i> )	- Head of village/ <i>lurah</i> - Field enumerators (PCL)
SLS	32	4	- Head of SLS
Households	256 (128 indepth interview + 128 questionnaire)	32 (16 indepth interviews + 16 questionnaire)	- Head of Household/wife

To know the stages of the implementation of PPLS 2011 more thoroughly, and in addition to visits to the field, the research team also carried out a series of other visits, including:

- a. Observation of the training of national instructors in Bandung;
- b. Observation of PCL and PML training in Kabupaten Bima, Kota Bima and Kabupaten Cianjur; and
- c. Observation and additional data entry in Kota Bima and Kabupaten Bima. These activities occurred because at the time of field research, data entry in almost all district and city offices of BPS were only being trialed.

After field visits to witness the implementation of PPLS 2011, SMERU researchers also carried out short field visits to the Kelurahan Rawa Badak Selatan, Kecamatan Koja, Kotamadya Jakarta Utara. These visits were intended to learn lessons from the implementation of the 2010 Population Census which was closely connected to the validity of the early data from households used in PPLS 2011. During these field visits interviews were conducted with various parties, amongst them the municipality BPS office, the KSK, SP 2010 PCL, the heads of the RW, the heads of the RT and ten households residing in two different RTs.

## II. THEORETICAL DESCRIPTION OF PPLS 2011<sup>6</sup>

### 2.1 The National Targeting System

As stated in the earlier background section, the effectiveness of the Indonesian Government's implementation of poverty reduction programs is very much determined by the quality of the system used to identify beneficiaries. The system of determining beneficiaries is said to be effective whenever it is able to accurately identify groups of poor households/families and include them as program participants or beneficiaries of assistance; while at the same time being able to identify groups who are non-poor and exclude them from becoming beneficiaries of assistance. If households in the poor group do not become beneficiaries of assistance, then the system of determining the beneficiaries of assistance is in error, with the term 'exclusion error' used to describe this situation. Conversely, whenever households in a non-poor group become beneficiaries of assistance then the system of determining who receives assistance is in error and this is known as an 'inclusion error' (see Figure 1).



**Figure 1. Errors in Determining Program Recipients  
(Exclusion and Inclusion Errors)**

Source: TNP2K

Until now research and experience has shown that the implementation of various programs for reducing poverty generally make these two types of mistakes, as well as using different systems and databases to determine recipients (World Bank, 2012). In addition to this, the poor households data produced from results of the 2005 PSE and 2008 PPLS is being used to determine beneficiaries of several programs and requires updating because the socioeconomic conditions of people in the last several years have changed and this source of the data is now assessed as being inaccurate.

In order to support the targeting of beneficiaries of social protection programs and referring to Presidential Regulation No. 15/2010 on the Acceleration of the Reduction of Poverty, Presidential Instruction No.1/2010 on the Acceleration of the Implementation of National Development Priorities 2010, and Presidential Instruction No. 3/2010 on the Equitable Development Program, the TNP2K in cooperation with BPS and World Bank is developing a new system of determining beneficiaries as a continuation from the 2005 PSE and 2008 PPLS. It is expected that this system can produce a unified database that can be used by various

<sup>6</sup>This theoretical description of PPLS 2011 is sourced from TNP2K's Policy Brief on the System of National Targeting of Unified Data on Households Eligible for Social Assistance Programs.



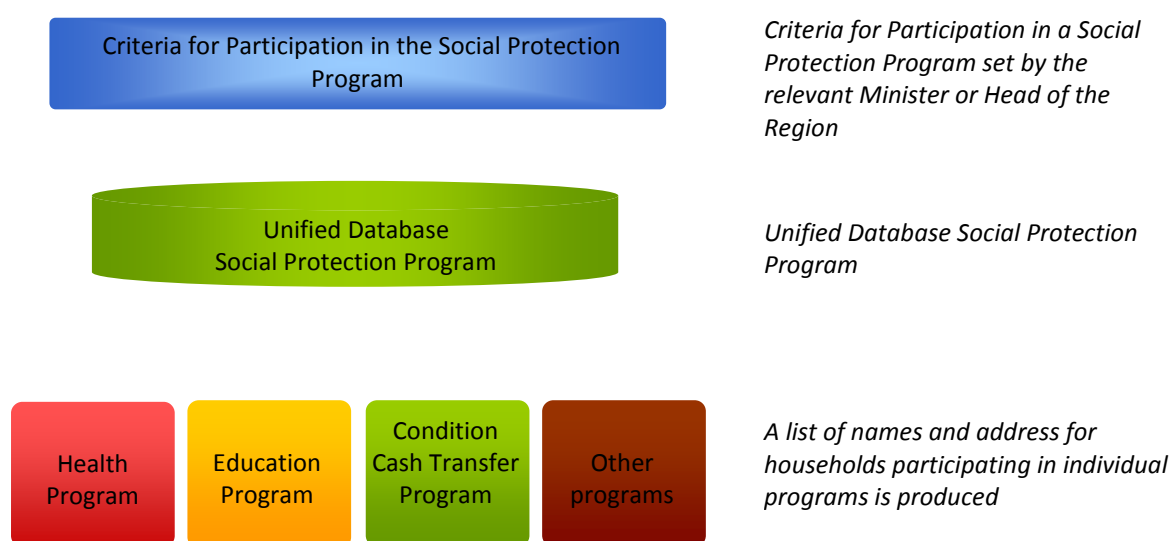
poverty reduction programs, social welfare programs or other pro-people programs that have a specific demographic target. The method used in the system to determine national beneficiaries of assistance includes several of the following factors:

- Developing a system that can identify poor households/families in Indonesia using an integration of scientific method and technical criteria;
- Minimizing errors in determining the beneficiaries of assistance programs by ensuring that the level of exclusion errors involving genuinely poor households/families as well as the level of aid leakages to non-poor households/families is minimized as much as possible; and,
- Facilitating the use of a unified database of poor households/families for organizations concerned with programs to reduce poverty, social welfare programs or other pro-people programs that have a specific demographic target.

## 2.2 Towards Data Unification

The unified database is expected to contain a list of names, addresses, and basic socioeconomic information of around nationally forty percent of the lowest socioeconomic households/families or all households that have been categorized as low to lower middle socioeconomic group. The percentages of households/families in each region will be different, depending on the local poverty rate. Determining the rank of the poorest households will be conducted through a process of assessment using a proxy means test after the data collection process.

The unified database seeks to accommodate the needs of targeting in social protection programs, social welfare programs or other pro-people programs. The unified database is designed flexibly to fulfill the needs of each program which usually target different groups. From the unified database, each individual program can ‘choose’ its beneficiaries by applying the relevant criteria stipulated by the minister or regional head who is in charge of the particular program (Figure 2).



**Figure 2. Framework for the Unified Database**

Source: TNP2K

The advantages of a national targeting system are as follows:

- Standardization in the process of enumeration (variables, questions, procedures and others);
- Availability of a national database for the needs of social protection programs as well as social assistance;
- The program implementer receives comprehensive information on the characteristics of beneficiary households (encompassing important variables for related programs and other variables); and,
- Ease in the process of adapting and updating the database

## 2.3 Targeting and Data Collection Methods

The data collection strategy for the PPLS combines several methods of identifying targets with the aim of reducing the level of exclusion errors of poor households/families and the levels of aid leakage to non-poor households/families. The method that is used to determine which households should be enumerated is the Poverty Targeting Model (PovTar) which is based on analysis of population census data. The PovTar Model is an extension of the proxy means test which is a technical method for predicting consumption spending per capita. This method is supplemented by identifying additional poor households in the field via consultations with local residents. The amalgamation of these two methods is carried out based on experience and lessons learnt from previous targeting programs, both carried out in Indonesia as well as other countries. It is expected that this method will produce data that is better than previous data collection which tended to be based on input from local authorities only.

**Table 3. Expected Time Schedule of PPLS 2011 Activities**

No	Activity	Date/Week/Month
1	Rateknas (national technical meeting)	24 – 26 May
2	Recruitment of officers	W1 – W4 June
3	Socialization and briefings in the area	W1 – W4 June
4	Training of national instructors	13 – 16 June
5	Distribution of data of household candidates for enumeration	W5 June
6	Training of PCL and PML staff	W1 – W2 July
7	Enumeration	15 July – 14 August
8	Supervision	W3 July–W5 September
9	Finalizing of integrated database	November

Source: BPS

The primary data source for the Unified Database for Social Protection Programs is the 2011 Data Collection for Social Protection Program (PPLS2011) which will enumerate 45%–50% of low to lower middle socioeconomic households. After a preparation phase, PPLS 2011 began to be implemented in May 2011. The field household enumeration was expected to be carried out from 15 July to 14 August 2011 with expected completion in November 2011<sup>7</sup>.

<sup>7</sup>In the process implementing PPLS 2011 several changes occurred, namely:

- additional time for data collection until October 2011 to minimize the possibility of exclusion error as a result of regions where the number of surveyed households was below that estimated using the PovTar process.
- finalization of data continuing until the end of December 2011 so that the unified database will be available in early 2012.
- households surveyed as part of PPLS 2011 totaled 25,398,181 or around 43% of national households.

The process of data collection for PPLS 2011 involved the following stages:

### **The household/family registration stage**

The first stage in the targeting process is associated with the decision on which and how many households are going to be enumerated in each region. This stage involves several technical steps:

- 1) Determining the quota of poor households at the village level.  
This stage is begun by estimating the quota or the number of poor households/families to be enumerated in every *kecamatan*, village, all the way down to the SLS level. This activity is carried out through a small-area poverty mapping estimation by building a model from socioeconomic variables available in the PODES 2008 and SUSENAS 2010. Through this initial stage the system of national targeting system is expected to have a high level of accuracy in estimating the distribution of poor people across Indonesia.
- 2) Determining households to be enumerated  
With reference to the estimated quota determined in the first stage, the next stage is to identify which households are to be enumerated. This process is carried out by applying the 2010 SP data (combined with data from the 2010 SUSENAS and 2008 PODES) to the PovTar model which is used to identify households which are “presumed” to be poor based on predictions of household consumption per capita in Indonesia. Through this process there is a pre-selection of 40% of households with the smallest consumption values.
- 3) Identification of additional households/families to be enumerated in the field by PCL based on other data sources:  
To increase the accuracy of enumeration of low to lower-middle socioeconomic households, information on additional households that should be enumerated was gathered via:
  - a) Identification of the targeted households based on other existing data. This stage is called ‘matching’ and includes:
    - Data of PPLS 2008. Households/families identified in the PPLS 2008 will be included as a target and later be enumerated in PPLS 2011 if they still have a low socioeconomic status.
    - Data of PKH waiting list. PPLS 2011 will enumerate PKH participants and households/families that appear on its ‘waiting list’ which have been identified as potential PKH beneficiaries.
  - b) Input from residents, particularly from poor households/families, who are listed on the pre-listed list. Three poor households/families are chosen (one of them is given a ‘#’ mark as well as two other houses that are close by) and invited to be consulted in determining households/families who have the same socioeconomic situation or worse than them but are not yet included in the pre-listed list.
  - c) Identifying other households/families which can be included in the low to lower-middle socioeconomic group based on visual observations of PCL in the field.

Results from the stages described above will be used to make a list of all households/families to be enumerated in PPLS 2011. Households/families captured in stage 3a will be integrated into the results from stage 2 in creating a pre-listed list of households/families to feature in the PPLS 2011.LS form (LS pre-listed list). Additional households/families that were included following stage 3b and 3c will be listed in the PPLS2011.SW (SW List).

During PPLS 2011 there was also the PPLS2011.RTSP form (RTSP List) and the PPLS2011.RK form (RK List). The RTSP List was an empty list prepared to register households listed in the LS List but who have moved away, or are in a different SLS outside of the duty area of PCL, or are not known by the head of the SLS. The RK List is a recapitalization list of the results of the data collection in every SLS made by PML for reporting and supervision purposes. The RK List will be sent by PML via mobile telephone using short message service (SMS) gateway to the address of the SMS center that has been determined.

### **Data collection or enumeration stage**

At the data collection stage, PCL will visit all of the households/families listed, to collect information about their demographic and socioeconomic characteristics, like the composition of the household, education levels, occupation, the quality of the house, sanitation, ownership of assets and access to assistance/social protection by using the 2011 PPLS RT questionnaire.

The criteria for the choice of variables in the questionnaire include:

- The best predictors of poverty
- The availability of a supporting data source, specifically Susenas
- Easily observable by the enumerator when evaluating the households/families
- Not easy to manipulate in the short term by households/families

PPLS 2011 questionnaire also contains important information for establishing the socioeconomic status of households/families as well as individual/family/household indicators which are needed by the ministry/institute managing the social protection program (for example, to determine the suitability of the program).

All data produced by data collection during PPLS 2011 will enter a data entry process at the *kabupaten/kota* BPS office in which the results will be sent to the central BPS via the provincial BPS office. This data will then be managed by the TNP2K, BPS and World Bank using a proxy means test method to determine the welfare status of households based on estimations of consumption per capita.

### III. IMPLEMENTATION OF THE 2011 PPLS

Below are the results of the research team's observation of the implementation of PPLS 2011 in the study areas. The results are presented under the categories of groups of field implementers, stages of activities, and informants' responses. Although these observations do not represent the implementation of PPLS 2011 at the national level, it can reflect lessons learned for the planning of data collection activities in general.

#### 3.1 Field Implementers

The institutional structure of PPLS 2011 incorporates heads and staffs of BPS in many levels. At the *kabupaten/kota* level there were officials who were responsible for the technicality of data collection and processing which involved several officials in their implementation. In the field, there were field enumerators (PCLs) and field examiners/supervisors (PML), whereas for data processing, there were data entry officers.

##### Field Enumerators (PCL)

PCL were partners of *kabupaten/kota* BPS office who were recruited to perform household enumeration. PCL were recruited by KSK or *kabupaten/kota* BPS in consultation with and with an approval from the village head/*lurah*. In North Sumatra, KSK also consulted with *camat* for this purpose. Recruitment was usually carried out by KSK/BPS by selecting the prospective PCL from an available list of partners, and evaluating the previous work performance, followed by a consultation with the village head/*lurah* about the selection. In a small number of recruitment cases, village heads/*lurah* also nominated a prospective PCL to be selected by the KSK/BPS. This type of recruitment mechanism often posed problems of quality control if PCL recommended by the village head/*lurah* was inexperienced or performed poorly, while the KSK did not feel at ease refusing the candidate on the grounds that it was necessary to maintain good relations with the village head/*lurah*.

Selecting PCL from the list of BPS partners was a positive approach as BPS can acquire the knowledge of past enumeration performance. This mechanism more or less can compensate for the quality control which may be lacking in the absence of competency tests. Nonetheless the absence of an open recruitment process may prevent staff regeneration as there was a tendency to keep on hiring the same people as PCLs. The involvement of the village head/*lurah* in recruiting PCL was considered effective provided that there was an agreement to meet the specified criteria. This mechanism strengthened the legitimacy and coordination of PPLS 2011 as having the village head/*lurah* involved implies that they are also directly responsible for things that are happening in the field during enumeration.

In recruiting PCLs, there were four criteria to be fulfilled by prospective PCLs; a minimum of senior high school graduate, experience in any of BPS enumerations (must include experience in the 2010 Census) with good performance; honest and obedient; and knowledge of areas to be enumerated. In the study areas, the last requirement would generally translate to being a resident of the local village/*kelurahan*.

In the study areas, there were generally no significant difficulties in recruiting PCL. Any recruitment constraints arose only momentarily or partially. In Kabupaten Cianjur, for example, a problem emerged in the early stages of recruitment as many partners were afraid of

having to experience riots similar to those that occurred during PSE 2005 (2005 Socioeconomic Data Collection). This problem was resolved after prospective PCLs were persuaded and given some explanations by BPS staff as well as village/*kelurahan* officials. The four criteria set out by the central BPS were generally adhered to except in a few locations where there was a lack of high quality human resources, especially in terms of the required education level. This lack resulted in uneven qualities amongst PCLs. Urban areas with better human resources tended to have a higher quality of PCL than in rural areas. In the southern part of Kabupaten Cianjur, for example, the education requirement was difficult to meet because villages in the region are underdeveloped with very few senior high school graduates. This region in addition had no option but to recruit elders as PCLs. According to BPS staff, although age is not part of the criteria, older PCLs tended to possess lower stamina and level of accuracy. However, BPS had to recruit elders as there was hardly any youth who can meet the educational and experience requirements. Older PCLs were also found in Kabupaten Demak in which they were usually village officials with experiences in some BPS enumerations.

In the study areas, given such recruitment mechanisms, criteria, and constraints; most PCLs were partners of BPS who had been involved in previous BPS enumerations. Many of them in fact had been BPS enumerators for several times. A small number of PCLs had never been a partner of BPS, but they had been involved in other non-BPS data collection projects. Most PCLs have professions as village/*kelurahan* officials, farmers, honorariums employees, *puskesmas*/PKK personnel, or housewives. With exceptions in some areas, almost all PCLs were senior high school graduates; in fact, a small number of them had a diploma and an undergraduate degree. PCLs were quite knowledgeable on the areas as almost all of them were residents of the village/*kelurahan*. In the cities, the number of male and female PCL was fairly balanced, while in the *kabupaten*, there were more male than female PCLs, as women were generally preoccupied with housewives duties and unable to meet the senior high school graduate requirement.

According to the regulations, all PCL must sign an employment contract for the PPLS 2011 assignment. PCL will receive an incentive with an amount of Rp2.3 million, including costs for income tax, stamp duty, communication charges, and bank fees. In addition, PCL will also receive a transportation allowance of Rp250,000 (25 days x Rp10,000) during field work and will be insured against work-related hazards; with the exception of those who are civil servants who are already insured through their employment. Until week three of enumeration, however, most PCLs had not received their employment contract while only a few of those who already had one actually signed it. The main disadvantage experienced by PCLs was the fact that the safety insurance were not in effect while they were on duty.

In addition to this, until the third week of enumeration, PCL had not yet received any payments, including the transportation allowance that are crucial for PCLs to carry out the field work. Most PCLs in fact were not aware of the amount of honorariums as well as the payment procedures. Nevertheless all PCLs did not claim it as an influence on their performance and that they trusted BPS for they had worked for them previously. Some PCL especially those working on large work areas however complained for not receiving the transportation allowance which they considered to be very important in supporting their duties.

In general, PCL considered the amount of honorariums to be appropriate for the subsequent workload that they received. In most areas, especially in rural areas, the amount was considered bigger than what they would normally receive from a regular employment, but the

workload was also considered to be much heavier. The honorariums were quite attractive to village/*kelurahan* officials who also involved in the enumeration in order to receive an extra income. Most PCLs were able to leave their regular job without losing their regular salary.

There were 99,365 PCLs nationally who were responsible of enumerating around 29 million households, giving an average workload of 300 households per PCL. The number of PCL for each *kabupaten/kota* was decided by the central BPS. In the study areas, the number of PCL ranged from 27–1,311 people. Table 4 shows that the workload of each PCL in each *kabupaten/kota* varied from 228 to 313 households. During the scheduled time of enumeration, spanning from 15 July to 14 August, PCL had to enumerate 8–10 households per day or 9–13 households per working day excluding Sunday. The working area ranged from 0.3 to 1.2 villages per PCL, or, in other words, one village was covered by 1–3 PCL, and there were PCL who were also on duty in two villages/*kelurahan*. BPS and PML staff claimed the number of PCL to be adequate. Most PCLs also stated that their workload was appropriate to the time provided. Some PCLs working in a widely spread village areas or had difficulties in meeting members at home stated that the workload was too burdensome.

**Table 4. Number of PCL and Estimation of Workload in the Study Areas**

Indicators	North Sumatra		West Java		Central Java		West Nusa Tenggara	
	Sibolga	Tapanuli Tengah	Sukabumi	Cianjur	Semarang	Demak	Bima (Kota)	Bima (Kabupaten)
Number of PCL	27	149	102	1,311	294	524	48	197
Number of target households <sup>a</sup>	6,565	33,917	25,278	315,340	88,222	157,185	15,011	61,751
Number of villages/ <i>kelurahan</i>	17	177	33	335	177	249	38	178
<b>Amount per PCL</b>								
Households	243	228	248	241	300	300	313	313
Households/day (25 days)	10	9	10	10	12	12	13	13
Households/day (30 days)	8	8	8	8	10	10	10	10
Villages/ <i>kelurahan</i>	0.6	1.2	0.3	0.3	0.6	0.5	0.8	0.9

Source: - Data on the number of PCL from interviews with individual BPS at the *kabupaten/kota* level.  
 - Data on the number of villages/*kelurahan* and targeted households (RTS) (40% quota) from the central BPS  
 - Data on the number of RTS in West Java and Central Java from the central BPS (40% quota) and data on North Sumatra and West Nusa Tenggara from individual BPS at the *kabupaten/kota* level.

### **Field Supervisor (PML)**

The field inspection officers, known as PML, were the ones responsible for assisting, supervising, and coordinating PCLs; checking and collecting the work of PCLs; conducting field spot checks; and reporting the progress of the enumeration. Each PML supervised 6–8 PCL. Considering the heavy workload of a PML, people who could become PML were the KSK, BPS staffs at the *kabupaten/kota* level, or well-regarded BPS partners. All of them must fulfill the requirements of having: at least a senior high school education, charisma, an ability to communicate with and coordinate PCL, and knowledge of the area under supervision.

In study areas where only a small number of PML were needed, such as in Sibolga, Tapanuli Tengah, Sukabumi, and Kota Bima, those who became PML were the KSK or BPS staffs at the *kabupaten/kota* level. In other areas, BPS partners were also recruited to become PML in addition to the two. BPS partners who became PML were generally those who had experiences working with BPS as well as good performance and competency. These partners included BPS honorarium employees, *kecamatan* administration staff, and village/*kelurahan* administration staff.

For their task, PML earned Rp2.6 million, which included income tax, stamp duty, bank fees, and mobile text messaging costs. Similar to PCL situation, the amount of the honorarium was considered very appropriate particularly for PML who at the same time still received their regular income.

In study areas, the workload of each PML was arranged based on the existing regulations. Each PML was responsible for supervising 6–7 PCL with working areas covering 1–8 villages/*kelurahan* located in one *kecamatan* (see Table 5). Most PMLs stated that the size of work was not too much of a burden, but other PML struggled with their loads, especially if their regular job still demanded a considerable amount of time and energy.

**Table 5. Number of PML and Estimation of Workload in the Study Areas**

Indicators	North Sumatra		West Java		Central Java		West Nusa Tenggara	
	Sibolga	Tapanuli Tengah	Sukabumi	Cianjur	Semarang	Demak	Bima (Kota)	Bima (Kabupaten)
Number of PCL	27	149	102	1,311	294	524	48	197
Number of PML	4	25	17	219	49	87	8	33
Number of <i>kecamatan</i>	4	20	7	32	16	14	5	18
Number of villages	17	177	33	335	177	249	38	178
<b>Amount per PML</b>								
PCL	6.8	6.0	6.0	6.0	6.0	6.0	6.0	6.0
<i>Kecamatan</i>	1.0	0.8	0.4	0.1	0.3	0.2	0.6	0.5
Village/ <i>kelurahan</i>	4.3	7.1	1.9	1.5	3.6	2.9	4.8	5.4

Source: - Data on the number of PCL and PML from interviews with BPS at the *kabupaten/kota* level.  
 - Data on the number of villages/*kelurahan* from the central BPS

### **Data Entry Staffs**

Data entry staffs were made part of the PPLS 2011 institutional structure. As a consequence, there were no official rules regulating the criteria of data entry staffs. Their roles however are no less important as they very much affected the validity and accuracy of the final data. Data entry officers received honorariums by the number of questionnaires processed, namely Rp500 per household questionnaire and Rp1,000 per household list.

In most study areas, data entry staffs were the *kabupaten/kota* level BPS staffs, KSK, or BPS partners who have routinely worked with BPS thus no recruitment process was conducted. In some study areas, using external personnel was an option but had not been conducted. In



most cases, the recruitment of BPS partners and external data entry staffs was only carried out if the number of questionnaires to be processed was really large making it impossible to rely only on the existing BPS *kabupaten/kota* staffs and KSK.

The recruitment of data entry staffs was only conducted in Central Java. In Semarang, data entry staffs were university students, while in Kabupaten Demak, they came from the general public who received information about the vacancies from the KSK or BPS partners. Requirements for the data entry positions included the ability to operate a computer and a willingness to work in shifts. In Kabupaten Demak candidates must take a test focusing on the speed of performing data entry. In that *kabupaten*, there were 60 candidates but only 45 of them were selected.

Generally, the numbers of data entry staffs in urban areas were smaller than those in *kabupaten*. The number of data entry staff was determined by each BPS office depending on the number of questionnaires and running shifts. The numbers of data entry staffs working were not always the same during the whole data entry process as BPS might hire additional staff when needed. This was made possible as the payment for the data entry staffs was calculated based on fixed units, which was Rp500 per household questionnaire and Rp1,000 per households list.

Most BPS staffs at the *kabupaten/kota* level, KSK, and BPS partners who became data entry staffs also worked as PML. Their responsibilities as both data entry staffs and PML were carried out simultaneously, as data entry activities started while the field enumeration activities were still taking place. Holding multiple positions may have interfered with their performance in both tasks, especially when on top of that; *kabupaten/kota* BPS and KSK staff still obtained the responsibilities of their regular jobs.

## **3.2 Socialization and Transparency of Information**

The socialization or dissemination of information is a very important stage in contributing to the successful implementation of an activity in achieving its goal. During the implementation of PPLS 2011, formal socialization came in the form of meetings occurring from May-June 2011 at all levels of relevant government agencies and internal BPS offices from the center to the regions. Meanwhile socialization of PPLS 2011 to residents and heads of the SLS (RT/RW/*dusun/lorong/lingkungan*) was presented informally with limited information.

### **The stages, times and participants of socialization**

#### **To relevant government agencies**

Socialization of PPLS 2011 within the governmental bureaucracy was held at the central, provincial and *kabupaten/kota* levels involving all related agencies. Several *kabupaten* excluded officials the village level and heads of the SLS. The scope of socialization was considered to be adequate for the sake of PPLS 2011 implementation. In relation to social protection programs, however, the scope was considered limited especially in several *kabupaten/kota* as it did not involve all the implementing agencies of social protection programs as future beneficiaries of the data collected.

Socialization of PPLS 2011 at the central level was carried out by BPS in conjunction with the Agency for Coordinating Government Public Relations (Bakohumas) through a meeting held

in Jakarta attended by members of the central Bakohumas including the Agency for Population and Family Planning (BKKBN), and other government agencies, as well as several national media agencies. Socialization of PPLS 2011 was presented by two speakers from the TNP2K and the central BPS office. Meanwhile socialization of PPLS 2011 at the provincial level was presented by the head of the provincial BPS and agencies associated with social protection programs. Participants who attended these meetings came from elements of the secretariat of regional governments, members of the legislature, relevant regional government work units (SKPD) academia and the mass media.

Generally the socialization of PPLS 2011 to agencies at the *kabupaten/kota* level was limited, and facilitated by regents or mayors with a representative from the *kabupaten/kota* BPS office. Socialization participants consisted of representatives of the relevant SKPD and *camat*. In several areas the mass media and relevant NGOs were invited. Except for cities of Bima and Sibolga, the socialization did not involve the *lurah*. In West Java and Central Java, the village head/*lurah* obtained information through meetings conducted at the *kecamatan* offices with information sourced from the KSK. In other regions, the village chief/*lurah* only obtained information from *kecamatan* and BPS notification letters that informed them of the implementation of PPLS 2011, as well as from the KSK or PML when determining PCL and from PCL when signing PCL work agreements. Meanwhile, the head of the RT (SLS) generally obtained information from PCL when confirming the location of the households to be surveyed.

#### To BPS internal staff

Socialization of PPLS 2011 within BPS was carried out at the central, provincial and *kabupaten/kota* level. At the central or the national level, socialization was conducted in Jakarta and attended by heads of BPS provincial offices. Furthermore, socialization at the provincial level was carried out at the same time as the training of regional instructors (Inda) with participants consisting of the heads and administration staff of *kabupaten/kota* BPS offices. Meanwhile, socialization of PPLS 2011 at the *kabupaten/kota* level was conducted through special or routine meetings because it only involved internal staff from one office, including KSK. The dissemination of information in the *kabupaten/kota* BPS offices was also presented in enumeration training which at the same time doubled as a socialization event for the partners of BPS (PCL and PML).

#### To the community

Socialization of PPLS 2011 to the local community tended to only be limited to the enumerated households delivered by PCL at the time of enumeration. Meanwhile socialization for the general public was carried out only in certain areas. In the North Sumatera province, leaflets were distributed and brochures were displayed in *kelurahan/village* offices or in the house of the head of the SLS. These leaflets and brochures were available in all areas because they were produced by the office of vice president and BPS. In several sample regions in the West Java province, informal socialization was carried out through; announcements at mosques, informal meetings between the head of village/*lurah* and the heads of RT and RW, as well as at *posyandu* events where the wife of the village chief made a presentation to the women in attendance. Extensive socialization of PPLS 2011 to the community was actually made available through several national and regional media outlets covering news about PPLS 2011 as result of featuring socialization activities taking place across several levels of government, however, access by the community to mass media and this type of reporting was very limited.

## **Materials and levels of understanding**

During meetings of the PPLS 2011 socialization, speakers would generally present materials on social protection program, the significance of the national unified database, and an overall explanation of PPLS 2011. In the internal BPS socialization, materials presented also focused on the technical problems in terms of preparation, administration and implementation methods. During socialization, the way materials were delivered became quite a complex problem as whether or not materials were received correctly and accurately depended on factors like the clarity of the material, the skills of the presenters and the ability of the participants to understand their explanations.

One of the explanations covered during the socialization at the central level was that in obtaining a database that covers 40% of the nationally lowest socioeconomic households, about 45%-50%, or around 29 million low to middle socioeconomic households need to be enumerated. This explanation however was not entirely understood by staffs in the field. Instead of nationally, several PCLs and PMLs interpreted it as having a maximum of 40% of households in each SLS to be enumerated.

The real aims of PPLS 2011 and the concept of a national unified database were also not well understood by PCL. Furthermore, the knowledge that not all enumerated households would be included in the unified database or become beneficiaries of social protection programs due to further calculation process, were also not understood by most PCLs. Even though most PCLs agreed that connecting PPLS 2011 to any past aid programs had been prohibited during the training and that they in fact did not know for certain how the data of PPLS 2011 would be used; many PCL considered PPLS 2011 to be similar to PSE2005 and the PPLS2008 which both are connected to the distribution of aid thus PPLS 2011 was also thought to be aid related.

The lack of understanding on several fundamental concepts of PPLS 2011 influenced how PCLs selected households to be surveyed. The assumption that PPLS 2011 was connected to an aid distribution led to the conclusion that the aim of the data collection was to identify poor households, so many PCLs decided to skip or exclude eligible households which they deemed to be not poor from the lists.

Information received by the government authorities at the *kecamatan* and village/*kelurahan* level was relatively limited and varied considerably in its scope. A few authorities, especially those receiving information through meetings, understood that PPLS 2011 is a data collection of low to middle socioeconomic households in which the data would be used for social protection programs. The rest of the authorities only know PPLS 2011 as a data collection of low to middle socioeconomic households with no additional information. Some authorities, and most heads of the SLS, do not really know which groups of households should be enumerated and what the aims of the data collection are. The limited information was a result of socialization at the village/*kelurahan* authority level presented only for the purpose of coordination support and formal institutional rules (for heads of village/*kelurahan* and SLS) to smooth verification of household location, selection of PCL and permit administration. An intensive and systematic socialization was missing thus most village authorities, especially heads of SLS were not aware of the aims of PPLS 2011. A large number of them received information as little as to PPLS 2011 is a regular data collection or an update of the SP 2010. The ignorance caused them to be unable to give a correct explanation to residents while up to this point the head of SLS is in fact one of the main sources of information for people on activities taking place in their area.

At the community level, information presented by PCL to surveyed households is also very limited and inconsistent; some claimed, for example, that PPLS 2011 is a regular data collection while other claimed that it was being conducted to improve the 2010 SP data. There were also PCL who did not provide enumerated households with any explanation while these households were feeling too shy or unwilling to ask about the aims of the data collection. This situation made information about the enumeration to be problematic and incomplete leading to the rise of speculation. A large number of people thought that the data collection was a part of the plan to administer aid to poor people, like BLT. The use of the term “social protection” on the questionnaire automatically channeled the focus of residents to the possibility of receiving aid. This hope was strengthened by the information from several PCLs who were claiming to households that there would be some aid distributed. This situation was worsened by some media coverage that announced the connection between PPLS 2011 and poor assistance programs. One message that needs to be emphasized, in order to prevent misunderstanding of PPLS in the future, is that being surveyed is not an automatic guarantee of receiving aid.

The limited socialization of PPLS 2011 to lower-level authorities and the community in done on purpose to avoid potential efforts by heads of the SLS to manipulate households to ask for being enumerated or for making up about their condition. Unfortunately these efforts were not supported by the spread of reliable, supportive and uniform information.

### **3.3 Training**

#### **Stages and Timetable**

Technical operations of PPLS 2011 were preceded by trainings conducted from the national to the district/city level which took place in mid-June until mid-July 2011. The national training was held in Bandung with what BPS called “the main instructors” (Intama) coming from the central BPS office as teaching staffs. There were sixty-nine participants, in which seven coming from the central BPS office, thirty-seven from the provincial BPS office, and twenty-five from the BPS district/city office. Participants of the national level are regarded as the national instructors (Inas) who are responsible as trainers at the provincial level. Training at the provincial level was conducted in the capital cities of respective province which participants coming from the BPS district /city level office. Participants in the provincial level training will later be called “regional instructors” (Inda). Indas in this case are the ones responsible for providing trainings at the district/city level to local PCLs and PMLs.

From several field observations, some of the district/city level trainings were conducted too close to the date of enumeration which was scheduled to begin on 15 July 2011. Some training sessions were conducted after this date. In Kabupaten Tapanuli Tengah, Kota Bima and Kota Sibolga; trainings ended on 14 July while in Kabupaten Bima and Kabupaten Cianjur trainings were finished by 16 and 17 July 2011 respectively. After trainings were completed, more time was in fact needed to prepare and distribute the materials such as questionnaires and stationeries. PCL and PML also ought to have the time to review the handbooks and manuals of PPLS 2011 in order to gain a better understanding of how to carry their job. Moreover, the matching process, previously scheduled to be done at the central level, must now be carried out by PCL on the field. The delay in training schedule thus snowballed into the delay in the start of enumeration as well as its completion.

The time period of training varied among districts/cities depending on the numbers of PCL and PML. In areas with larger numbers of PCL and PML, training lasted for several days and the session was divided into groups and classes. In the Kabupaten of Cianjur, for example, the training lasted for over five days and was consisted of four clusters of sixteen classes each. Meanwhile in Kota Sibolga, the training lasted for two days of only one cluster of one class. The period of training for each class or cluster was two days. On the first day classes went from around 2pm-6pm and on the second day from 8am-12pm. The number of instructors in each district/city was determined by the number of classes. Each class was taught by an instructor with an average class size of thirty students. At each training session there were many groups, and instructors were training students continuously (marathon) from morning until afternoon and sometimes until night for the duration of the training sessions. As a result of this, instructors needed to be physically and mentally fit for the duration of the training.

### **Accommodation and Facilities**

The district/city level trainings were conducted at local hotels. The facilities provided were appropriate and adequate even though variations still existed among locations and classes. In general, trainings were held in regular meeting rooms equipped with a laptop, projector, white board and sound system. Some of meeting rooms were big while others were quite small. During training there were several technical hitches like electrical outages and distorted sound systems. In addition, there were some meeting rooms that were noisy because the hotel was located on the side of a busy highway. In other locations, the rooms became too hot and uncomfortable during the day because they were only equipped with fans. However, on the whole those technical hitches did not really affect the overall running of the training sessions. Training at the national level, besides a minor problem with the public address sound system, had no technical difficulties because the training was conducted in a star-rated hotel with better and more comprehensive facilities.

Supporting materials distributed to each participant including; a handbook, a pocket book, several examples of correctly filled-in data collection forms, writing instruments and a bag were suited for the field needs. At the national and provincial level trainings, CDs designed as teaching material for instructors at the *kabupaten/kota* level trainings were distributed to participants. During the *kabupaten/kota* level training each participant received pocket money to the value of Rp80,000 per day or a total of Rp180,000 and supplied with the cost of transport appropriate to the distance travelled from the *kelurahan/village* to the training location. For the duration of the training participants received adequate refreshments and for those who lived far away accommodation facilities.

### **Agenda and training focus**

The training agenda in each level was generally the same which format included an opening remark from the head of local BPS, the playing of videos showing a speech of the head of central BPS and a role playing of enumeration, and instructional explanations on the use of maps, methods of completing various data collection forms, method of consultation with households, and sweeping mechanisms to ensure that all low to lower middle socioeconomic households were enumerated. At the national level training there was additional information in the form of a general explanation about the integrated database system, the features of PPLS 2011, the supervision and monitoring of quality, as well as motivating instructing staff.

In the *kabupaten/kota* level trainings, materials presented focused only on the enumeration mechanisms for PCL while the methods of supervision for PML were not much discussed. Moreover the ultimate goal of building a unified social protection database in PPLS 2011 and the principle of maximum inclusion were not discussed further during the training. There were also not many discussions on the purpose and differences of PPLS 2011 from previous data collections. The trainings very much concentrated on the mechanism of filling in the forms that were to be used.

At the *kabupaten/kota* level, motivational support was not specifically scheduled on the training agenda and was only given through the opening speech of the head of regional BPS. In Kabupaten Bima, for example, the head of local BPS mentioned that the PML and PCL should not focus on the value of their contract but on how to contribute to their country by carrying out their duty properly. Meanwhile the head of BPS in Kabupaten Cianjur decided to motivate participants through a religious approach by claiming the enumeration as a charitable act of collecting data on the forty percent lowest socioeconomic households. The encouragement to work hard and cautiously was also presented in the welcoming address video of the head of central BPS. Some PCLs admitted of being motivated and regarding the data collection as an honorable task.

### **The quality and effectiveness of training**

In general the materials covering the mechanism of enumeration were comprehensive and adequate. Those which were delivered through video presentations on both the welcoming speech of the head of central BPS and enumeration steps were quite engaging and helped participants to better understand the mechanism of data collection. Trainees who were interviewed said that after seeing a visual example from the video, they could better understand the steps required to conduct the enumeration. PowerPoint slides projected by an LCD projector (*inFocus*) were in fact quite clear and concise thus also found to be helpful. Nonetheless PowerPoint presentations were not always found in every *kabupaten/kota* training session as not all training rooms were equipped with projectors. Some instructors even used only hand books as teaching aids.

The national level training contains deeper discussions on materials as well as a written test which results were used to decide if participants were eligible to become national instructors on their own. Failure in the test would mean that trainees must be accompanied by another national instructor from the central BPS. The administering of tests during the *kabupaten/kota* level trainings varied across different locations. Tests were absent in some areas due to lacks of time while in other areas, tests only functioned as a formality. In such cases, results from the tests were collected without any examinations or discussions thus were not found to be useful in improving the understanding of training participants.

Most instructors generally mastered the mechanism of PPLS 2011. At the *kabupaten/kota* training level, however, there were variations in the quality of teachings and the effectiveness of trainings. Some instructors were able to explain the whole logic behind the mechanism yet others only explained about the questionnaire being used. Some instructors could answer the questions from participants clearly and thoroughly, but others had to delay their responses or asked for a confirmation from another BPS staff. Variations in teaching qualities were most frequently found in areas with large numbers of instructors which normally also faced higher demands for trainings due to the large numbers of PCL and PML. In those areas, selectivity aspects in choosing instructors could not really be carried out as the numbers of *kabupaten/kota* BPS staffs available were limited. In Kabupaten Cianjur, for example, from the

sixteen instructors needed, two were recruited from the provincial BPS while fourteen others were chosen from the local BPS *Kabupaten* staffs which total numbers were not that much higher. In areas with relatively small numbers of PCL and PML, fulfilling the need of excellent instructors was not really an issue. Instructors were directly recruited from among the local *kabupaten/kota* BPS staffs, normally the head of sections, who were regarded to have good qualities and experiences in data collection training.

During the course of *kabupaten/kota* trainings, most participants were looking through the manuals and hand books while listening to the presented materials. A number of them, however, appeared to be less serious. Most participants were generally non BPS personnel who had prior experiences in enumeration. Hence participants generally understood the terms and concepts commonly used by BPS so that instructors did not need to explain some basic concepts such as; census block, SLS, regional map, household, and family. To a certain extent, such familiarity could compensate for the limited time available for the training. In situations where participants did not acquire any past experiences, trainings might have to be prolonged for additional few days. Nevertheless several instructors were claiming the given time for the the *kabupaten/kota* training as inadequate thus concepts such as the forty percent of low to lower middle socioeconomic group and a unified database could not be presented thoroughly. Furthermore the post-training test agenda as a result could not be conducted optimally. The duration of effectively 8-9 hours (or one full working day) for the *kabupaten/kota* training was too short compared to the national training which lasted for three days. This was justifiable especially when considering that participants of the *kabupaten/kota* trainings were PCL and PML who are the 'spearheads' of the enumeration process with various backgrounds and abilities.

Limitations of time, ability and seriousness of trainees in capturing the material; differences in the ability of the instructor; and availability of the teaching-learning tools could cause the results of training to vary for each participant. Training participants in *kabupaten/kota* who were interviewed admitted that they received sufficient training and that instructors could appropriately explain the materials. However, they could not rely only on training to better understand the full details of the enumeration mechanism. Trainees must also read the manuals and hand books or learn from fellow PCL, PML or KSK. A PCL in Kabupaten Bima expected that the knowledge of PPLS 2011 came 35% from the training, 50% from the manual and handbook, and 15% from experiences in conducting data collection.

The three manuals distributed to the training participants namely; Manual 1 for the head of the Province/*Kabupaten*, Manual 2 for PML, and Manual 3 for PCL were found to be very useful. These manuals had worked as guidelines for various parties during the implementation of PPLS 2011. Those books however were deemed too detailed and less attractive due to the overly full layouts and very small letters. Some PCL thus became reluctant to read the entire guidelines. They tended to rely on the explanation of PML although in some cases the information PCL needed was in fact available in the guidelines. Booklet which presented quite succinctly felt quite helpful, but the information is less comprehensive. Manuals and pocket book only contains enumeration and explanation of the mechanism does not explain some concepts such as Ruta coverage at the level of SLS or village/village and the definition of middle to lower Ruta. Though both of these is a basic concept in PPLS2011 that can support the accuracy of the PCL in determining Ruta will be enumerated.

The handbook, which was written to be brief, was helpful even yet the content of information was less comprehensive. Both manuals and handbooks contained only explanations on the enumeration mechanism with no explanations on concepts like the household coverage in the SLS level or village/*kelurahan*, or the definition of a low to lower middle socioeconomic

households. Both are basic concepts in PPLS 2011 which may enhance the accuracy of PCL in determining which households to be enumerated.

### **Issues that arose during training**

No question and answer session was specifically scheduled as part of the training yet participants were encouraged to ask questions at anytime throughout the material presentations. In general the most frequently raised questions were related to hypothetical situations that might occur in the field. Many questions and dialogues were raised on the definition of 'low to lower middle socioeconomic households' which were quite confusing as there were no clear limitations. Despite this fact, PCL were required to carry out sweeping to avoid the possibility of having those household groups not enumerated.

In the *kabupaten/kota* level training, especially in the beginning, there was an explanation asserting that the target of PPLS 2011 was low to lower middle socioeconomic households. In the next explanations and following examples however there was a tendency to concentrate on poor households. This situation had only reinforced the mindset of participants that the data collection was meant for the poor and was connected to an aid distribution. Such mindset was inevitable because some PCL were involved in PPLS 2008 and PSE 2005 in which both were enumerations of poor households with the aim of distributing aid. Other than that, discussions on the differences between PPLS 2011 and the two prior data collections were very limited.

## **3.4 Determining Targeted Households**

### **Determining national and regional quotas**

The national quota of 2011 PPLS, the national forty percent households with the lowest level of expenditures (poor and vulnerable), was determined by the central BPS in Jakarta, in coordination with TNP2K and the World Bank, by analyzing the 2010 Population Census (2010 SP) and Susenas data. This size of this coverage was far bigger than that of PPLS 2008 which covered only around 29% of the poorest households. This expansion was made to reduce the possibility of exclusion error.

From this national quota, the central BPS then decided the regional quotas starting at the provincial level, followed by the *kabupaten/kota* level and the SLS level. These quotas vary and correspond to the intensity of poverty in each location. A regional quota in this case is not a maximum quota, but rather to be regarded as the minimum quota as PCL in the field can add additional households to be enumerated. Based on interviews with BPS in *kabupaten/kota*, the proportion of the quota obtained in the study area down to the *kecamatan* level is relatively reflective of the socioeconomic conditions in each of the areas.

The central BPS also determines each of the individual households to be enumerated by using a model referred to as "Poverty Targeting (PovTar). The PovTar Model is an extension of the proxy means test which is a technical method for predicting consumption spending per capita. The households to be enumerated were divided based on the SLS and were listed in the LS (pre-listed) List. This pre-listed list would then be matched with the data from PPLS 2008 and the PKH waiting list. The purpose of this matching process is to ensure that households which were previously eligible for governmental aids are included in the LS, given the likelihood that they may still be poor. These households however need to be verified socio



economically during PPLS 2011. Particularly for PKH, not all regions in Indonesia participate in the program as it is still considered to be a pilot program. Study areas which do receive PKH are North Sumatera, Central Java and Kota Bima.

The matching was originally planned to be carried out by the central BPS before PPLS 2011 started. This process however could not be finished in time due to limited supporting hardware, time constraints and difficulties in matching SLS codes and names of household members. There were varieties in how names of household members were written; some names were even similar or identical. As a result, the LS List given to each *kabupaten/kota* BPS was a list which was purely taken from SP2010.

### **Accuracy of the initial household list**

Several parties, particularly PCL, regarded the availability of the initial household lists or LS lists as a strength of PPLS 2011 because the list can be used as a reference in determining which households to be enumerated. This generally made the enumeration process easier and less dependent on subjective opinions of PCL and local leaders. During the previous data collection, such lists were not available thus PCL could only refer to field instructions and information from village/*kelurahan* authorities, including the heads of RT. Many parties including the central BPS, however, admitted that LS list was not 100% accurate as it may cover households that were non-poor (inclusion error). In the study areas, some households that were non-poor were included on this list, for example: successful small businessman, farmers owning a large acreage, livestock farmers with many cattle, members of the DPRD and PNS. Moreover, there were a few cases where high-level BPS staff were given ‘#’ marks indicating that they were one of the five poorest households in the SLS of their residence. To solve this situation the central BPS issued a directive to *kabupaten/kota* BPS staff to exclude and apply a code ‘9’ to households on the LS List that were in fact non-poor. In its practice, this directive did not go smoothly due to differences in understanding the criteria of a non-poor household as described in the previous section of this report “Deletion (allocation of a code 9) of a household in the Pre-Listed List”.

The inaccuracies of LS List were also indicated by the quantity of households being covered. Some were LS Lists only contained a very small number of households or much fewer households compared to PPLS 2008. In Kabupaten Cianjur there was even an LS List containing only one household. All of these cases have the potential to create an exclusion error particularly when PCL was influenced by the initial number of households included in the lists. To overcome this problem and to carry out the matching process, the central BPS asked the *kabupaten/kota* BPS to do the matching between households in the LS List and in PPLS2008. This process was eventually performed in the field by PCL in their respective areas of responsibility. The PPLS 2008 households which were not on a LS List were added to an empty LS form. These households would then be enumerated given that they are still eligible after their socioeconomic conditions were verified by PCLs.

In Semarang, PCL had only received the PPLS 2008 list several days after PPLS 2011 started. As a result, several PCL were worried about the possibility of having to carry out enumeration in the SLS which had finished being surveyed, if there were households listed in the PPLS 2008 data that had not yet been surveyed. This concern did not actually arise as long as PCL conducted the enumeration procedure according to standard operating procedures (SOP). Observance of the SOP will most likely result in all the low to lower-middle socioeconomic households not on the LS List, including those which are only registered in the PPLS 2008, being registered and counted.

According to the central BPS, there are two possible sources of the LS list inaccuracies; the SP2010 data or the model predicting household expenditures. Based on a short visit by SMERU researchers to north Jakarta to obtain information about the implementation of the SP2010, it was concluded that the coverage of 2010 census was comprehensive. All residents were surveyed including those residents who live in illegal dwellings and those who are temporary, like sailors. However, the quality of the questionnaire responses was questioned because there were PCL who did not ask all the questions to respondents. (See Attachment: Review of the Implementation of the 2010 Population Census in the area of North Jakarta).

### **Deletion (allocation of a code 9) of a Household from the Pre-Listed List**

The policy to assign a code 9, or remove households from the LS List, was not necessary if the overall enumeration mechanism had been working well. Households that are not eligible will in fact be automatically identified during the data processing. The rules of assigning code 9 is based on BPS Circular No.04340.110, dated 12 July 2011 which was later reconfirmed by Circular No.04340.118, dated 21 July 2011. In these two circulars it is mentioned that households which are not eligible because they are non-poor yet still appear on the LS List (pre-listed) can be removed from the list or given a code 9. Code 9 is also given to households which member is PNS/TNI/Polri/BUMN/BUMD/members of the legislature or obtained a bachelor's degree (S1) or higher. Nonetheless there were no further explanations on other criteria, including the economic situation of households.

These incomplete explanations on the deletion criteria led to a subjective improvisation that varies across regions. In Kota Sibolga there was a confirmation letter from the local BPS office dated 15 July 2011 which added criteria for non-poor households which now included retirees from the PNS/TNI/Polri/BUMN/BUMD/members of the legislature, heads of area, honorarium receiving officials and households that were non-poor/wealthy. In other areas there were no confirmation letters from the local BPS office thus the criteria of non-poor households were based on the subjective assessment of PCL.

Several *kabupaten/kota* BPS staff viewed that the non-poor household characteristics described in the confirmation letters was inaccurate as they still included those who were not necessarily non-poor financially. Some low-level PNS for example, could still be considered as low to lower middle socioeconomic households especially if these households have many members or dependents. Moreover, there were households having members with a bachelor's degree who work as blue collar workers due to difficulties in finding a better employment. Existing criteria of poor households which are still partial led PCL to assess households only based on their regular income. As a result, there were poor households which were not added or were being excluded from the LS List because they received a regular income, while in fact the members were only shop keepers, second grade PNS retirees, honorarium receiving teachers and other low-income employees.

In the field many low to lower middle households which were initially included in the LS List were excluded or given a code 9 by PCL because they were perceived to have a higher standard of living in comparison to their neighbors. Some examples of those who were later deleted from the lists were: *ojek* (motorcycles public transportation) drivers who owned their own motorbike yet still has to rent a small house; agricultural laborers who had a side-job working as a blacksmith, and a farm laborer who two years ago was able to pawn a land worth Rp2 million.



Source: Hastuti (SMERU documentation)

Source: Hastuti (SMERU documentation)

**Picture 1. House of a Farm Laborer who is Deleted from the Pre-Listed List**

The inaccuracy in giving code 9 is also caused by the assumption that there should not be more than 40% of households listed for each SLS while in fact the percentage applies at the national level. Several PCLs and PMLs were worried that BPS would reprimand them if they enumerated more than 40% of households in the SLS. Furthermore PCLs and PMLs were influenced by the an assumption that in PPLS 2011 only poor households should be enumerated instead of the whole low to lower middle households. The mistake in giving code 9 was one of the potential causes of under-coverage in PPLS 2011.

**Table 6. Percentage of Households Deleted from the Pre-Listed Lists of Households**

Province	Kabupaten/kota	Number of Pre-List Sampled	Number of Household		Average of Deleted Households (%)	
			Kab/ Kota	Average per Pre-List	Kab/ Kota	Per Pre-List
North Sumatera	Kota Sibolga	4	79	19,75	8,86	7,69
	Kab. Tapanuli Tengah	4	176	44,00	32,95	32,82
Central Java	Kota Semarang	4	39	9,75	10,26	7,78
	Kab. Demak	4	203	50,75	35,96	36,31
West Java	Kota Sukabumi	5	152	30,40	25,66	30,60
	Kab. Cianjur	4	119	29,75	0,00	0,00
West Nusa Tenggara	Kota Bima	12	484	40,33	28,31	28,07
	Kab.Bima	7	201	28,71	40,30	39,82
Total		44	1453	33,02	27,46	25,16

The mistakes in allocating code 9 can actually be minimized if KSK or PML performed some verification on all households given code 9 households as had been instructed in the BPS regulations. Verification however tended to be overlooked due to the time constraints. In special circumstances where the allocation of code 9 is the result of discussion in a village meeting, like in Kabupaten Demak, the PML cannot make many corrections and can only act in accordance with the consensus decision. In such cases, the coordination between BPS and the regional government must intervene in order to minimize the possibility of under-

coverage. Another way of minimizing under-coverage is for BPS and PML to provide a clear and detailed explanation on the concept of the 40% and 45% quota, as well as a firm statement that there is no quota at the SLS level.

Results of analysis on 44 households in the LS List or the Pre-Listed List of households in the study areas found that the number of households allocated a code 9 varied from 0%–70.37% or on average 25.16% per LS List. On average the number of households deleted from the list at the *kabupaten/kota* level was 27.46%. Kabupaten Bima had the highest amount of code 9 households and only in Cianjur was there no incidence of households being allocated a code 9. This was the case in Cianjur because the number of households on the LS List was very small.

### **Process of determining households to be surveyed**

Based on the SOPs of data collection, there are several stages that have to be carried out by PCL in determining households which are suitable to be enumerated.

#### 1. Confirmation with head of the SLS on the existence of household in the LS List.

In determining households, the first step to be carried out by PCL is to visit the head of SLS. After providing them with the objective of data collection and confirming the possible change in SLS (like the expansion of the RT/RW/*Dusun*) prior to SP2010, PCL must read each household out loud while verifying that each of them still reside in the respective SLS. PCL then will ask the head of the SLS to sign and stamp the LS List with an official stamp.

In practice, many PCLs also consulted with the head of SLS on the socioeconomic condition of households in the LS List or those who were not yet included. In several cases, this mechanism invited the head of SLS in trying to influence the content of the list or to include their relative to the list. Although this type of consultation is violating the SOP, this consultation will not necessarily have a negative impact given that PCL were obeying the rest of other SOP like direct consultation with households and sweeping. In several cases, consultation with the head of the SLS in determining households for targeting was proven to assist in identifying households that were difficult to identify, like households who had recently moved or rented a house. The knowledge of the head of the SLS was very useful in ensuring all identified households were listed. This was also confirmed by BPS staff from west Java who stated that consultations with the head of the SLS were helpful to PCL in carrying out the data collection and to prohibit this practice will be unfortunate.

From observations and interviews in the field it was revealed that the process of confirmation with the head of the SLS caused no difficulties and did not negatively impact on the process of enumeration. Negative effects occasionally emerged as a result of the practice of consultation in determining of the households to be targeted. In fact, this negative effect can be avoided as long as PCL correctly explains the aims of the data collection and is disciplined in following the SOP.

#### 2. Determining additional households through consultation with poor households and sweeping.

Based on the guidelines, PCL must consult with poor households and conduct sweeping as a way to identify households which were not yet listed to avoid exclusion errors. Through

these two mechanisms it is hoped that all of low to lower-middle socioeconomic households which were previously overlooked can now be included. Additional households identified from these two mechanisms will be added to the SW List to later be included in the data collection. The number of households on the SW List is expected to not exceed five percent of the total number of households on the LS List (pre-printed) at the village/*kelurahan* level. If this situation occurs then it needs to be brought to the attention of the PML who will then report it to the *kabupaten/kota* BPS.

The consultation with three poor households was undertaken by PCL after verifying the presence of those household. These three households are consisted of one household given the mark ‘#’ identified by the PovTar model to obtain the smallest level of expenditure, and two other nearby poor households which are listed in the LS List. The aim of these consultations is to catch households with the same or lower economic conditions which were not yet included in the LS List or the 2008 PPLS.

In almost every study area, the consultation mechanism with three poor households was not implemented. Several reasons that were revealed are:

- Reluctance of PLC to conduct consultations due to limited time or unwillingness to replace households with a ‘#’ mark with other households. In many cases households were difficult to find because the name listed in the LS List was not an everyday name known by the neighbors. As in Kota Sibolga, generally the everyday names of the heads of households were the names of their sons so that not many people knew the real name of household’s head.
- Difficulties in gathering the three households marked with a ‘#’ and other poor households due to household individual activities and occupations.
- Lack of ability and knowledge of households marked with a ‘#’ and other poor households to provide information/input. These households often did not dare and had difficulties in expressing their opinion or evaluation on the socioeconomic condition of their neighbors. Especially in urban areas, these households were not certain of the condition of households in their SLS.
- In several cases, there was a tendency from participants of consultation to recommend family or close relatives of their own.
- An implementation of a controllable and efficient consultation was often difficult to achieve due to suspicion or curiosity from the general public. There were cases in which consultations were attended by more than twenty people thus the situation was too difficult for PCL to handle.

These chaotic situations caused some PCLs to stop performing consultations although ho earlier they had made an effort to do so. Moreover, there were also PMLs who openly admitted that they prohibited PCLs from conducting consultations. Several *kabupaten/kota* level BPS also claimed that the consultation method was too difficult to implement. In Kabupaten Demak consultation was not carried out due to concerns that it would cause protest and conflict amongst residents.

As consultations with three poor households were generally not performed, the sweeping mechanism becomes the main method of identifying poor households that are not yet listed. Sweeping is carried out through a combination of field observations and consultations during enumeration, about other households who have a similar or lower standard of living. In nature, asking questions to households during enumeration is a modification from the consultation with poor households mechanism which was not performed in groups. Thus, although differs from the initial procedure, consultations with poor households are still being

performed by a large proportion of PCLs. This method is found to be effective in identifying additional targeted households and is easier for PCL to carry out compared to consultations with three poor households.

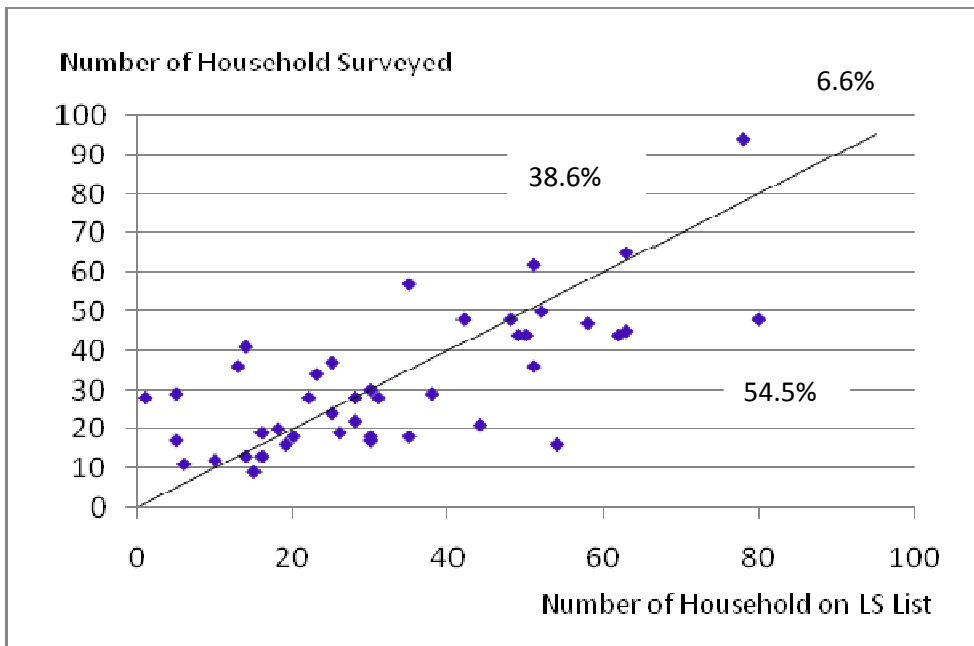
There is a tendency for the decision on additional households by PCL to be subjective. This situation occurs because there is no clear guidance or criteria on the definition of a low to lower-middle socioeconomic household. Other factors included the incorrect perception of some PCLs that the number of enumerated households should not exceed 40% of all residing households and that additional households should not be more than five percent of the households in the LS List. Additionally there was also a perception that PPLS 2011 would be followed by the distribution of aid like the BLT and PKH programs. This perception caused PCL to be very selective in determining additional households thus PCLs would only identify poor and very poor households. With this incorrect perception, the aim of PPLS 2011 to nationally obtain information on all low to lower-middle socioeconomic households and to reduce exclusion error may not be optimally achieved. PPLS 2011 in fact aimed to include not only poor or very poor households but also those who are almost poor or vulnerable to poverty.



**Picture 2. House of a Household who is not Pre-Listed since the Head is a Retired Civil Servant (PNS)**

*Source:* Hastuti (SMERU documentation)

Generally, households included in the final list or those that are to be enumerated are quite accurate covering low to middle socioeconomic households. Nonetheless in almost all sample regions there were indications of under-coverage. Figure 3 shows a comparison of the number of households enumerated (including additional households) with the number of households included in the LS List. Points spreading along the diagonal line represent the amount of households surveyed that are the same as the number of households listed in the LS List, points above the diagonal line show that the number of households enumerated is bigger, while points below this line show otherwise. In total, Figure 3 shows that in the SLS of study areas there is a tendency for the number of enumerated households to be smaller than the total number of households listed in the LS List.



**Figure 3. Comparison between the Number of Pre-Listed Households versus those who were Enumerated**

### Intervention by authorities

In addition to cases in which heads of SLS tried to include their relatives in the LS lists; cases of intervention by authorities also took the form of efforts to influence the appropriateness of households either to appear or to be added to the LS List. There were several PCL who were requested by the head of SLS not to enumerate the households listed because they were regarded as non-poor based on local criteria. These requests were even stronger if the household was in the wealthiest twenty percent groups in the area. Other common reasons not to enumerate certain households were moral judgments (households members are commercial sex workers, alcoholics, etc) or judgments that certain households are still new comers even though they had been residing in the area for a year. Generally requests by heads of SLS were fulfilled by PCL as the majority of PCL are in fact part of the village/*kelurahan* authority groups.

In addition to the SLS level, intervention from authorities also occurred at the village/*kelurahan* level. In Kabupaten Demak intervention emerged on the lists of households to be enumerated. This situation was triggered by concerns that similar problems and riots to those happened during the PSE2005 (used for targeting of BLT program) would occur. These interventions were carried out through discussions in a village meeting involving several parties, namely: the village authorities, the head of the SLS, community leaders, PCL and PML (see Box 1).

Village meetings may not be necessary if the LS List can be ensured to contain between 40%–50% of low- to middle socioeconomic households. However, from the community empowerment point of view, there were at least two reasons for advocating village meetings. The first is related to the need to develop a transparent attitude (openness) between the government authorities and their people. Second, is to increase community participation in each program related to their interests. Village consultations should also be regulated with clear and rational rules. In relation to PPLS activities, village consultation meetings need to be lead or at least be attended by the KSK or BPS staff.

**Box 1.**  
**Village Consultation in Kabupaten Demak**

The implementation of PSE2005 and PPLS2008 in Kabupaten Demak led to restlessness and social turmoil, for one side many poor families were not enumerated while on the other side, some rich families were. After seeing some local officials and entrepreneurs appeared on the LS List, several PCL and PML became worried that similar incidents may occur again in PPLS2011. One of the PML (male, 31/07/2011) said: “If a household is clearly well-off, why does it have to be enumerated.” As a result, a meeting was held in the *kabupaten* level and decided (i) that this matter needed to be brought to the attention of the central BPS and (ii) to request that the households to be enumerated be first identified in a village consultation meeting.

In Wonoagung village, for example, consultative meetings were attended by the vice *camat*, village authorities, the heads of the RW, heads of the RT, the PML, and PCL. In those meetings PML and PCL did not present the LS List to the public. They suggested that the heads of the RT make a list of households they considered to be poor in each individual area. The heads of the RT were also asked to suggest criteria for determining poor households, amongst others they suggested; houses with earth floors, with temporary walls, without a toilet or bathroom, have kitchens that used wood for cooking, have no access to electricity, and of widows (head of RT, male, 1/08/2011).

At the village consultative meetings it was agreed that each head of an RT would arrange and produce a list of households suitable to included in the LS List, as well as a photocopy of the family card from each listed family, for PCL. Several heads of the RT who understood that the aim of the PPLS2011 was to give assistance to poor households, tended to list all the households in their area for enumeration because they were afraid that they would be blamed by their constituents if they missed out on government assistance. Meanwhile, there were several other heads of RT who did not include the names of well-off households and only listed households that were definitely poor or vulnerable to be poor. One of the heads of the RT (male, 01/08/2011) consulted with local religious leaders to choose residents who were considered to be poor. Other considerations that he used for choosing households, besides those explained by PCL, were residents who did not have permanent employment or a fixed occupation. He also explained that if there was a well-off household which requested to be listed he would say “that means that you are praying to be poor”. One example of the results from the village consultative meetings was the suggestion by the head of an RT that the number of households to be enumerated in his RT was seventeen, whereas in the LS List there was a quota of fifty-four households.

### 3.5 Household Data Collection

In most study areas, the start of data collection implementation was several days late from the scheduled date (15 July 2011), which occurred specifically due to the delay in the training schedule and the distribution of enumeration logistics. The initial set up for the data collection to start on a Friday, which in several regions is the last working day of the week, also contributed to the delay of the data collection. In several villages/*kelurahan*, which were in fact able to begin enumeration on time, PCL could not ask for their letter of assignment be endorsed by the head of village/*lurah* as they were not around. Enumeration thus could only be started three days later on the first next working day (Monday). The assumption that the head of village/*lurah* could be contacted at their house was not always correct as some *lurah* lived in other *kelurahan* or if they were able to be contacted, some were reluctant to sign PCLs’ letter of assignment because they kept their official stamp at the office.

The delays in the start of data collection influenced the end of the enumeration as well as the limited amount of time for PCL to check the completed questionnaires. If the inspection by PCL was carried out too close to the end of the data collection, the PML must face the risk of overburdening workload while PCL themselves did not have time to carry out confirmation of information or re-visit households if required.



Approaching the start of data collection, PCL were given all the necessary enumeration logistics in appropriate quantities, in the form of writing instruments (ATK) manuals, handbooks, area sketch maps, household pre-listed lists and several enumeration forms. This equipment was supposed to be carried at the time of enumeration, however, from field observations there were PCL who did not bring all of the materials. Moreover there were PCL who only brought the list of relevant households, questionnaires for the households to be surveyed, and ATK. Several of PCL stated that the manuals were only used when checking the responses in questionnaires, whereas the sketch maps were not needed because they were already familiar with their work area, moreover there were some PCL who admitted making the sketch maps for the SP2010 census.

Based on field observations on data collection activities of 12 PCL and in-depth interviews with 23 other PCL, it is found that generally PCL were very familiar with their working areas. This familiarity is a strength coming from the fact that PCL are generally local residents in which the majority are village/*kelurahan* officials. Several PCLs, especially in urban areas, often had to ask about the location of the households but this did not become an obstacle as PCL were already located in the correct area.

### **Consistency of enumeration procedures**

From field observation it was acknowledged that most data collection activities were carried out based on SOP. Mechanism of filling in the questionnaire, for example, was generally carried out through a face-to-face interview with householder inside their house/residence. Nonetheless cases of SOP violations were also found which vary in the level of seriousness. Procedures that were violated were mechanisms of interviews, informant selection and questionnaire completion.

The most frequently found cases of minor SOP violation were cases in which PCLs were accompanied by the heads of RT or other village/*kelurahan* officials during the data collection. This violation was motivated by the expectation to ease finding listed households or for the sake of the enumerator's safety. The most serious case of SOP violations which may influence the accuracy of the data collection was the incidence of group enumerations. In this case, PCL did not come to individual houses so that there was no clarification on some of the data, particularly those concerned with the condition of the house and sanitation.

Most interviews were conducted with the wives of household heads but some were also conducted with adult children or children who had a senior high school education as household head were often not home or out working. Cases of violations were found in cases where interviews were conducted with people who were not members of the household, for example, asking relative/neighbors or the head of SLS. Major violations were found in Kabupaten Cianjur in which some PCLs did not visit and interview households due to their belief that they already knew well enough the condition of the house and the livelihood of the people in that area. The completion of the questionnaire of those households was based only on data that was available, the family card (KK) and the personal knowledge of the particular PCL.

### **Quality of Enumeration Results**

Armed with well educational background and experience in data collection, SMERU's observations showed that the majority of PCL obtained good interviewing techniques as well as showing familiar on steps of the data collection. However, there were some PCL who did not fully understand how to complete the questionnaire. These lacks in skills were indicated by

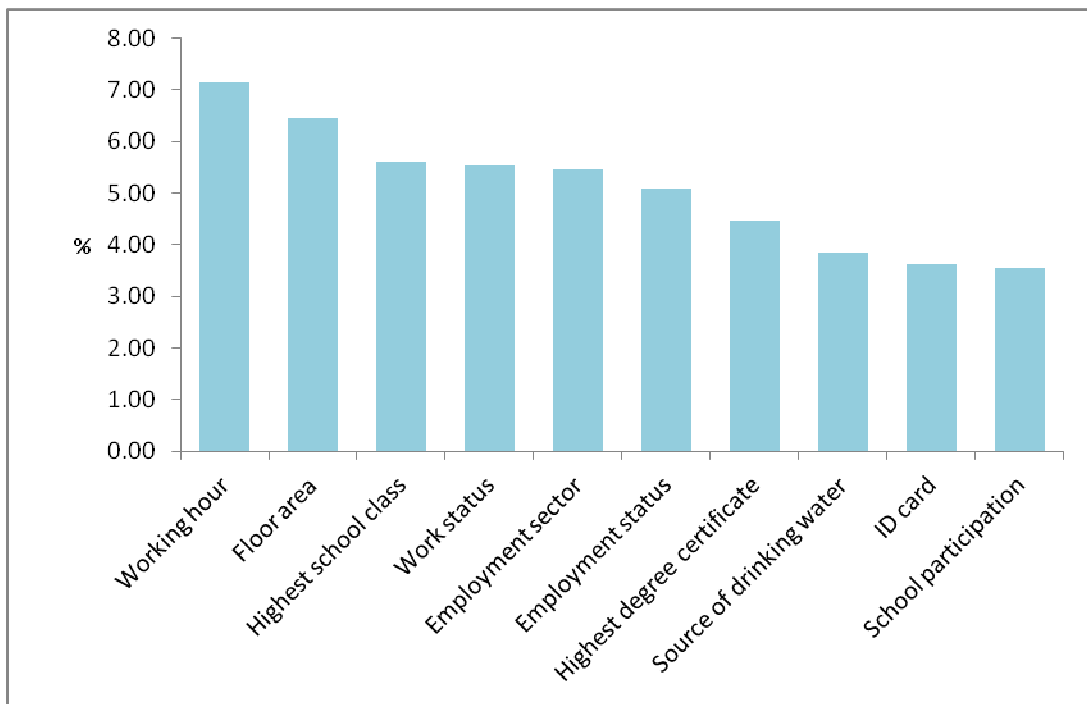
the mistakes PCL made in filling-in sections about age, school participation, family ranking in the household and employment position in the questionnaire, despite an explanation about these sections was contained in the manual - which they all received.

As explained in the section on research methods, to know the quality of PCL in conducting the data collection, the SMERU research team carried out a reduplication of the interviews using PPLS 2011 questionnaire with 130 households (there was an additional two households from the planned 128 households) who had already been interviewed by PCL. Comparing the results of SMERU researchers and PCL, differences were found in an overall of 14.68% cells. There was a tendency for cities to have more differences than the *kabupaten*, except in West Java. Kabupaten Cianjur is a region which had the most differences in content with 37.08 of the cells, whereas Kabupaten Tapanuli Tengah had the least differences in the questionnaire responses of 1.90% cells (see Table 7). The big difference between questionnaires collected by SMERU and by PCL in Kabupaten Cianjur was allegedly due to human resources problems and the practice of SOP violations during the data collection.

**Table 7. Differences in Enumeration Results between BPS and SMERU**

Province	Kabupaten/Kota	Difference in Cells (%)
North Sumatera	Kota Sibolga	6.04
	Kab. Tapanuli Tengah	1.86
Central Java	Kota Semarang	10.77
	Kab. Demak	9.10
West Java	Kota Sukabumi	16.94
	Kab. Cianjur	37.08
West Nusa Tenggara	Kota Bima	17.55
	Kab. Bima	15.59
Total		14,68

The question obtaining the most difference between SMERU and PCL was concerning working hours, which was as much as 7.15%. Following this was the questions on the area of floor space in the house, 6.46% and the highest school class for children age 5 years and older, 5.62% (see Figure 4). These differences were thought to be caused by misunderstandings, differences in the depth of investigation, miscalculation, incorrectly recorded responses or recording any type of haphazard response. For the question concerning working hours, particularly for informal work for example, there is an individual variation that is difficult to record. PCL then decided to skip and leave these columns empty. Differences in the responses concerning the floor area in a house were most likely caused by variations in the data source; either being based on respondent's confession or interviewer's estimation. Some answers tended to be filled by PCL with any number so as to avoid being left blank, or were miscalculated thus the figures were very different from the actual respondent housing situation. Moreover there were responses on the house floor that did not make sense, like the floor space being only 4m<sup>2</sup>. There were also PCL, PML and BPS staffs who questioned the concept of floor space calculated based on roof area because it was regarded as being not representative of the area of the house which can actually be used by the household. As a result, in many cases in the study area, the floor space was calculated based on wall boundaries.



**Figure 4. Survey questions with the largest discrepancies in responses collected by SMERU versus BPS**

According to PCL, questions related to occupations are considered to be the most difficult to answer. Another difficulty is to group occupation because there was no complete guide, and also to calculate working hours, because many householders answering this question had working hours that were not fixed. A PCL enumerator gave an example, for people making snacks and then selling them, they can be classified as both working in the manufacturing and the sales industry. Survey questions that also received many complaints concerned age because many people did not know their exact date of birth.

### **Enumeration Progress**

According to initial plan, PPLS 2011 would be conducted within one month, from 15 July – 14 August 2011. Entering the third week of its implementation, estimations on the progress of the data collection varied across regions. Some *kabupaten/kota* estimated that they had finished more than 50% of the enumeration while others admitted that they were way behind this stage. Through interviews with PCL, it was revealed that the stage of data collection completion by PCL also varied. There were PCL who almost finished all of their tasks and were getting ready to assist other PCL. Other PCL however had only finished 40% of their task. There was a tendency for enumeration process in urban areas to be faster than in rural areas as houses are closer to each other and that household members were easier to meet due to their types of employment.

Although estimations on the enumeration progress varied, KSK and *kabupaten/kota* BPS were generally optimistic that the data collection would be finished on time. The optimism emerged from experiences, in which it was normal for the enumeration to be impeded at the start because of the required formalities to meet with local institutions and the process of adaptation for PCL. PCL admitted that the time it took to survey households became shorter as they became more familiar with the questionnaire. On average PCL needed between 10-25 minutes per household so that they could survey 10-15 households in a day. Even though

there were several PCL, especially in the *kabupaten* areas, who were not sure if they could complete their enumeration by the allocated time because of difficulties in finding the households. In Kabupaten Bima for example, there was a region where the majority of residents were farmers in other areas and only returned home once a week, whereas in Kabupaten Tapanuli Tengah many farmers were busy guarding their crops against attacks from birds and so rarely went home to their houses.

According to the rules, after completing one SLS, PCL must submit the resulting questionnaires to PML. In time of field observations, most PCL had not yet submitted the enumeration results, partly because there were still remaining households which could not be found in the SLS which was almost finished enumerated. Although there was no fixed schedule on when submit the results, the delay may create a pile of work (backlog) for PML at the end of the enumeration.

According to regulations, the whole results of the enumeration must be submitted to PML and PCL were not allowed to make any copy. However, in West Java there were RT and PCL who photocopied the list of households from the LS List and the SW List. Other reports were also found on a number of heads of village who did the same. Meanwhile similar efforts were made in other areas but can be avoided. In Kota Sibolga, the head of the SLS requested information from PCL and came to the BPS office to request a copy of the households that had been surveyed, but their request was denied. In Kabupaten Bima there was a village head and the head of the Village Representative Body (BPD) who requested the results of the enumeration but was also refused by PCL. All of those attempts were made as safety measures in case the data collection was followed by an aid distribution to prove that the heads of village had carried out an enumeration to determine eligible households. Heads of villages realized that such practice would infringe the confidentiality of the documents, but they claimed to having no choice and were still very much traumatized by the protests following the implementation of BLT.

## 3.6 Monitoring and Evaluation

### Institutional and Roles

Monitoring activities in PPLS 2011 generally involved three institutions; (i) the field monitoring and evaluation team at the central, provincial and *kabupaten/kota* levels, whose main roles are to observe the progress of enumeration from time to time; (ii) the quality monitoring officers (MK) at the central and provincial levels whose roles are to ensure that SOP are strictly followed as well as ensuring the quality of content of the questionnaires; (iii) the field supervisor (PML) whose roles are to ensure the accuracy of PCL in filling-in the questionnaires of numerated households and to communicate via SMS the progress of the data collection and any problems that are emerging in the field so that they can be promptly handled.

In evaluating the monitoring activities, the SMERU study was limited to findings at the *kabupaten/kota* and lower levels. The role of monitoring and field evaluation by the *kabupaten/kota*-level BPS focused on coordination, supervision and cooperation on solving any problems that emerged and completing the data collection in time. Monitoring by the *kabupaten/kota* BPS was routinely carried out through direct contacts using either telephone or SMS. Several informants viewed the monitoring by SMS as strength of PPLS 2011 because this system was effective in expediting the facilitation, the detection and settlement of all

problems in the field. Other forms of monitoring conducted in North Sumatera and Central Java were meetings between all PML and PCL under the leadership of the head or head division of *kabupaten/kota* BPS office. In North Sumatera these meetings were carried out every week whereas in Central Java were in the second and fourth weeks of the data collection. In Kota Sukabumi, an institutional effort was made by forming a “task force” which members are the head division of social statistics of BPS and several KSK. This task force was formed to handle emergencies that required a quick response and to anticipate delays in the work of PCL. Up until the end of the SMERU study, there had not been any emergency situations found.

The quality monitoring in the field was carried out by a joint team of the central and provincial BPS representatives as well as the staffs of *kabupaten/kota* level BPS to accompany in the field. This joint team system was in fact working better than if each administrative level (central, provincial, *kabupaten/kota*) performed monitoring of their own. There were also MK officials carried out a quality monitoring for selected areas. The findings and results of the MK monitoring were not known in details by SMERU due to differences in timings and locations of study. In Kabupaten Demak, for example MK officials who had met with SMERU researchers reported that the head of the *kabupaten* BPS office suggested that they visit *kecamatan* that had not yet been visited by SMERU.

Monitoring by PML was generally intended to mentor PCL in the beginning of the data collection, to supervise PCL during enumeration, to check and clarify documents that had been submitted by PCL, and to routinely report to the *kabupaten/kota* BPS office. PMLs were the main subjects in the monitoring data collection, while PCLs were frontlines in the conduction of data collection. Monitoring by PML was meant to ensure that all poor households were enumerated and that ensure PCL were accurate in completing household questionnaires so that the collected data was reliable. Monitoring of PCL by PML was conducted through periodical visits, which took place at least once a week or whenever it was requested by PCL. Furthermore PML also carried out monitoring via SMS or telephone. In monitoring the progress of the data collection, PML reported their information verbally to the *kabupaten/kota* BPS office and via gateway SMS by sending it to the SMS center. Information reported through SMS gateway was in the form of recapitulated data collection results of each SLS using the RK List form.

### **Constraints in the monitoring by PML**

In practice, the realization of duties and responsibilities of PML were not carried out optimally. Some contributing factors are the facts that all PML who hold positions as BPS/KSK staff still needed to carry out their routine duties and responsibilities required by their offices. Meanwhile PML who were BPS partners, are in general *kecamatan/village* staffs who also obtained other jobs. Some PMLs, especially BPS staffs, must also take on duties as data entry officers for PPLS 2011 which was carried out at the same time as PCL supervision. The multiple role playing disturbed the responsibilities of PML as field supervisors as they could not allocate sufficient time to supervise PCL.

In PPLS 2011, each PML was responsible for supervising 6-7 PCL. Geographically, this scope of responsibility could translate into an entire village/*kelurahan*, while in several places where there are relatively few households it would represent up to eight villages/*kelurahan* (see Table 5). PML in rural areas tended to have a much bigger work area thus PCL working in those areas were less frequently visited by their PML compared to PCL in urban areas. This situation was related to accessibility, topography of the area, as well as distances from PML office which was generally located at the center of *kabupaten/kota*.

The absence of special trainings for PML was another factor that hinders the optimality of PML performance. As mentioned earlier in this report, trainings of PML and PCL were carried out together in the same session with an emphasis on with the technicality of data collection. Meanwhile, technical steps of monitoring were only given in the manuals without any discussion in the training. As a result PML, especially those who were not BPS staffs, only possessed limited information on how to carry their duties and functions.

Until the fourth week of the data collection, PML who managed to send a gateway SMS in the study area were found only in Kota Sukabumi. PML in other study areas had not sent their SMS due to technical difficulties in the registration to the SMS center or there was no SLS which had been fully enumerated as one or two households who had not been successfully located and enumerated. Others did not face such problems yet still had not sent their any SMS. There was an indication that PML did not consider sending an SMS as important or PML considered reporting progress to their respective *kabupaten/kota* BPS office to be sufficient.

The monitoring or control efforts of data collection by the *kabupaten/kota* BPS were constrained by the large number of PML and PCL found in each area, especially in *kabupaten*. Moreover, some *kabupaten/kota* BPS staffs must multi task as PML while keeping their regular duties. Generally, the monitoring carried out by the *kabupaten/kota* BPS was seen in the form of responses to emerging problems in the field put forward by PCL through PML. Thus, the monitoring tended to have a problem-solving nature. In general, monitoring in urban areas was much easier to carry out than in rural areas. In Kota Bima, for example, the local BPS office was able to carry out monitoring in the form of field visits to several PCL. Meanwhile BPS in Kota Sukabumi participated in all briefings and coordination meetings between PML and PCL in every *kecamatan* during the preparation period of the data collection.

### **Monitoring mechanism and document verification by PML**

In the early stage of data collection, PML were responsible to accompany PCL particularly those who were considered to be weak in their understanding of the required tasks. In city areas, a large proportion of PML carried out this duty according to the SOP by accompanying PCL viewed to have weaker skills or those who were only involved in data collection for the first time. Meanwhile, in the *kabupaten* areas, only a few PMLs carried out these initial mentoring. Several PML considered the initial mentoring to function more as a socialization mechanism rather than for supervising or detecting potential mistakes in completing the form. As a result, many technical elements of the data collection such as methods to complete the forms were being neglected. The responsibility of PML to supervise and accompany PCL in verifying the LS List with the head of SLS and in performing consultations with three poor households was generally not conducted.

As part of their duties, PML must have two meetings with PCL. The first meeting was scheduled to be held one day before the data collection begins to distribute all enumeration materials. In this occasion, not all PMLs provided directions and briefings to remind PCL of things that will help smooth the data collection like the completeness of writing instruments, mechanisms, and enumeration schedules. Kabupaten Demak and Kabupaten Cianjur also used this occasion to discuss the potential social impacts from the data collection such as the emergence of fears and conflict amongst residents.

The second meeting, which should have taken place on the 14<sup>th</sup> day of the data collection, was generally not held particularly in *kabupaten* areas. These meetings were important as an opportunity to (i) carry out an evaluation on the data collection implementation while at the

same time finding solutions for problems in the field, and (ii) arrange a strategy when an area was suspected to be unable to finish enumeration on time. There was a problem however in which many PMLs claimed that until the start of the third week of the data collection they had not received any enumeration results from PCL.

Lacks of supervision by PML was indicated from several PCL which stated that they had only been visited by PML once during the two or three weeks of data collection and that none of the enumeration results had been checked by PML. Document reviews by several PMLs were limited only on matters that do not require field verifications, like reviews on the LS List, serial numbers of household members, and ages. In many cases, verifications by PML were not successful in correcting mistakes in the questionnaires, like in the rounding of respondents' ages.

Insufficient supervisions by the PML was also revealed from a confession of a PML who admitted that he had not accompanied PCLs due to his opinion that PCL were well experienced and that PCLs were usually carrying their task in the morning when PML was busy. In other cases, it was also revealed that some PMLs had handed over their responsibilities to other PMLs. A working partner PML transferred his work to a PML who is BPS staff, and in another example, another BPS working partner PML gave their supervision duties to their husband who is a KSK and also working as PML.

In accordance to SOP, one of the PML duties is to collect questionnaires completed by PCL to be checked and periodically be submitted to the *kabupaten/kota* BPS office to be processed. Most PMLs, especially those in urban areas, had verified the forms collected by PCL. Some of other PMLs however had not performed any verification as PCL had not submitted any questionnaires. In some *kabupaten* regions, submissions of questionnaires were challenged by location accessibility. In urban areas, it was easy for PML to meet PCL and ask for the completed questionnaires or to request PCL to pay PML a visit at the BPS office. As found in this study, four villages in Kabupaten Cianjur had not submitted any completed questionnaires to PML until the third week of data collection. This situation may lead to a major problem in which PML must face the risk of getting their job stacking (backlogging) at the end of the enumeration. Moreover PCL would not have the time to carry out confirmations or follow-up visits to households.

### 3.7 Data Entry

In PPLS 2011, all data collected from enumeration will subsequently enter the stage of data entry conducted at the *kabupaten/kota* BPS office. The results of data entry will later be submitted to the central BPS through the provincial BPS offices. This data entry or data processing step was planned to be implemented on a rolling-system, which would begin as soon as questionnaires of a single SLS have been fully completed on the field and been examined by PML thus are ready to be processed. The start of the data entry process therefore does not have to wait for the entire data collection to be finished. Almost all *kabupaten/kota* in the study area however were late in carrying out their data entry which implies that the rolling-system has failed to be fully implemented. According to the initial plan, data entry was to be implemented a week after the enumeration had begun that was the third week of July. Entering the third week of the data collection, however, not all *kabupaten/kota* had begun their data entry. The main reasons for this were; no SLS had been fully enumerated, no completed questionnaires were ready, and lacks of preparation on the data entry software which had to be changed several times.

The delay in the start of data entry was expected to impede its completion which was previously scheduled on 15 September 2011. Nevertheless BPS in the study areas estimated that the data entry could be completed on time due to familiarity in performing data entry, the ability to increase staffs if needed, and the plan in areas with a large number of questionnaires to send a portion of their work to another *kabupaten/kota* or provincial level BPS office for additional help.

The implementation of data entry was preceded by trainings which were carried out in stages. Trainings for instructors or those responsible for data processing at the provincial level were carried out at the central level, and for the *kabupaten/kota* level, were conducted in provinces. In the study areas, trainings for data entry operators at the *kabupaten/kota* study level had not been conducted until the second week of August 2011. Nonetheless informal training to try out the data entry process for individuals and small groups of BPS staff were carried out in several *kabupaten/kota*. Materials that were presented relate to the description of the questionnaire, the use of software, steps of data entry, and the potential difficulties and mistakes as well as ways to overcome them.

In PPLS 2011, the process of data entry would be carried out based on the official procedures of data processing adopted by PBS. The initial step is the examination of questionnaires by PML to ensure that the data to be entered was clean making the input process easier. Afterwards, the data processing would enter the following eight stages:

- *Receiving and batching*: *receiving* is the acceptance of documents from PCL and the examination of those documents on their completeness. *Batching* is the grouping of documents so that they are easily tracked. In this stage; a serial number, the number of households, names of PCL, PML, examiner and data entry operator are recorded in each document;
- *Editing and coding*: refers to an examination of households indicated in the LS List so that each of them is coded;
- *Data entry*: the process of transferring the data format from the hard copy into the electronic/soft copy;
- *Validation*: a review on the data that has been entered into the main server software by comparing it to the hard copy format. This review is conducted on data of all households receiving an error status as well as a random sample of households which have been correctly entered. In the case where errors were the results of software defect, staffs must report to the provincial BPS office to ask for a software replacement. The data will then be validated again.
- *Consistency*: a check on the data consistency by applying a tabulation system in the software with the purpose of cleaning the data;
- *Cleaning*: verification of inconsistent tabulations to the original document. In this case, unusual data will be verified by PML. In situations where PML are unable to explain the data, PCL will be contacted. Furthermore if PCL are also unable to explain the data, a re-visit to the relevant household must be conducted;
- *Preliminary meeting*: a discussion on the results of data consistency; and
- *Re-cleaning*: is carried out if the preliminary meeting resulted on the decision that the data that has been entered is not yet 'clean'.



The BPS mechanism of data processing is considered proper as it obtains several stages of examination and data cleaning before and after the data entry. The potentials of making mistakes is still considerable as verification were only made on randomly selected households and the stage of consistency can only give a general picture in data errors through tabulations. Nonetheless if all of the steps are carried out correctly then the resulting data will be of high quality.

As a result of the delay in data entry and the limited time available for field visits, the data entry stage could not be fully observed by SMERU. Based on the results of those limited observations and interviews it was revealed that the data entry was not always conducted in the *kabupaten/kota* BPS offices. In Kabupaten Bima, for example, data entry for the close by *kecamatan* was conducted at BPS office, whereas the distant *kecamatan* carried out the data entry by KSK or data entry partner from home.

Most of the data entry conducted at BPS offices was not concentrated in one place. Instead it was spread over several rooms or in other cases, each staff did the data entry in their own room. Generally, the rooms being used were conducive because they were quiet, clean and well-ventilated, some are even equipped with air-conditioning. In cases where data entry staffs are working together, the room being used was open so that staff could pass by freely, however it appeared that this did not disturb the concentration of the data entry operators.

During the data entry, there was a supervision led by the responsible person or the instructor of data processing at the *kabupaten/kota* BPS office. Supervision of the data entry in which staffs were all placed in one location was much easier to be conducted compared to having all staffs located in different places. For the data entry that was conducted in several different rooms, the supervisor would only approach the data entry operator when a problem emerged. For the data entry in which staffs were spread over several locations, supervision becomes even more difficult thus tended to rely on communication devices like telephones.

In doing their tasks, data entry staffs used the available laptops and computers which as there were no new facilities added for the PPLS 2011 purposes. BPS policy to have 'one laptop for one man' was in fact quite useful in helping to provide facilities for the data entry. Nonetheless, the policy has not been successfully realized in all areas thus some BPS staffs must use their personal laptops during the data entry.

The time needed to entering data for one household questionnaire is 5–10 minutes, depending on the number of household members and errors that occurred during the data entry. The format of software used was slowing the data entry process especially in the early stage of its implementation. Problems occurred because the format of questionnaire in the software concerning the characteristics of households was vertical (from top to bottom) whereas the questionnaire format was horizontal (from left to right) so that the data entry operator has to make an adjustment. The software used for data entry was MySQL with a local network system which could be connected to the provincial BPS through internet connection. The software prepared by the central BPS specifically for PPLS 2011 contains some locking on possible answers of several questions. In this case, an error will occur whenever the staff entered an answer different or outside of the set limits. This locking was found in the minimum age in relation to school participation and relationships with the head of the family. In terms of participation in school, for example, BPS limited the input to only household members aged five years and older, and enrollment in primary school for children aged more than six years old only. Whereas in the field there were considerable amounts of children under these ages who were already attending school because local schools sometimes had a

shortage of students and enrolled students who had not yet reached official school-age. This continued to the limit of student participation at SMP and SMA. Meanwhile the relationship of household members with the head of the household was limited to the difference in age between parents and their children, whereas in reality there were households that had adopted children or step children with different ages below this limit.

This limiting or locking of inputs was slowing down the data entry process. The *kabupaten/kota* BPS was unable to act on this problem as they were only receiving *executable* (\*.exe) files. Their only option was to report the problem and wait for the software to be adjusted by the central BPS. However, having this problem for one questionnaire would not disturb the entry process for the next questionnaire. In the case where one questionnaire was not finished or containing error, there would be an 'E' sign or a red mark which could be ignored.

### 3.8 Responses to the Implementation of PPLS 2011

In general, various stakeholders in regions including BPS staffs, local government officers as well as PCL and PML viewed PPLS 2011 to have several advantages over the previous data collections, namely; the PPLS 2008 and the PSE 2005. PPLS 2011 obtains a bigger coverage of households, enumerating 40% of low to lower-middle socioeconomic households. Furthermore there were procedures in which PCLs must carry out consultations with poor households and conduct sweeping in respective areas to spot more eligible households that were not yet listed. All of these measures were hoped to minimize the degree of under-coverage of poor households in the data collection.

Other advantages of PPLS 2011 were: (i) PPLS 2011 provided clearer SOP than the previous data collection; (ii) irrespective of its level of accuracy, there was a pre-listed list of households available as reference for PCL; (iii) PPLS 2011 was not directly related to any aid programs, although the aims of the data collection (to unify poor households data) imply that social protection programs can later use the results of PPLS 2011 for targeting; and (iv) the collected information was more detailed than the previous data collection. Information that was collected included occupation, education, incidence of chronic disease, disability, pregnancy, ownership of an identity card, ownership of assets and participation in any of the several social protection programs. Moreover the data also covered information on all household members.

Nevertheless, there had also been some criticisms of PPLS 2011. Several regional BPS staffs viewed that the planning process of PPLS 2011 was too centralized. The design, concept, and lists of questions in particular are formulated by the central BPS without providing much room for inputs from the regional BPS offices. The central BPS had in fact consulted with several agencies, like the Ministry of Health, the Ministry of Education and the Ministry of Social Affairs on the content of PPLS 2011 questionnaire. However, the regional BPS offices still felt that they were only regarded as implementers. One of the most frequently raised issues by the regional BPS was on the PPLS 2011 questionnaire that did not accommodate sufficient local criteria of poverty. Questions on the ownership of large livestock and agricultural land are in fact far more accurate measurements of socioeconomic levels for people in many regions yet they were not found in the questionnaire. On the opposite, the question on the mobile phones ownership was considered to be unimportant due to its relatively cheap price nowadays thus no longer reflects the level of prosperity in the community. As a consequence, many were doubtful about the ability of the instrument to determine the socioeconomic levels of households and led PCL to frequently choose to not survey household that they considered non-poor so that a risk of under-coverage emerged.

Another criticism of PPLS 2011 was that it did not provide clear concepts and criteria to define the low to lower middle socioeconomic household group. BPS also did not issue comprehensive directives on both the process and the indicators of how to allocate a code 9 or exclude households from the LS List. As a result, PCL were holding different perceptions on how to determine the non-poor households (or to allocate a code 9) thus tended to be subjective in adding households to the list. The measurement of non-poor and low to lower middle socioeconomic households thus became locally specific (village/*kelurahan*), whereas PPLS 2011 in fact uses national concepts and measurements.

Meanwhile, many governmental officials particularly at the *kecamatan*, village/*kelurahan*, *dusun*/RW, and RT levels still experienced trauma over the protests and riots that occurred during PSE2005 which implementation was followed by the direct cash transfer (BLT) program. As a matter of fact, the implementation of PSE2005, whose target was poor households and hence causing residents to recognize it as the poor household enumeration, went calmly. Yet when households that were enumerated became beneficiaries of BLT, many residents who identified themselves as poor but were not enumerated (exclusion error) demanded the data collection to be conducted again so that they could also receive BLT. Even though the level of pressure had reduced, during the implementation of BLT2008 a similar situation occurred in several regions. The social atmosphere at the time became angry when it was made known of the existence of residents considered non-poor/wealthy but who requested BLT because of a data error (inclusion error). At that time, anger from residents was also aimed at PCL, village/*kelurahan* institutions, and BPS as the agencies responsible for the data collection.

This trauma had produced an increasing fear that the same situation will happen again during the implementation of PPLS 2011. One of the *camat*, for example, said; “such enumeration of poor people will usually only produces chaos”. Fear of chaos elevated when several government officials and wealthy entrepreneurs appeared on the LS List. If the LS List contained the top ten percent of the wealthiest households (based on local standards), thus the rest ninety percent of households may also insist to be enumerated as happened in several areas during PSE2005. This fear cause the local governmental officials to be very cautious even tended to feel reluctance to the data collection which was aimed specifically and solely at poor households. Even though this was the case, formally they continued to remain wanting to assist and prepared to cooperate with parties concerned with the implementation of PPLS 2011. This fear was also acknowledged by PCL and PML as the field implementers of PPLS 2011 because a large proportion of them were involved in the PSE 2005.

BPS as the responsible party of the PPLS 2011 implementation responded to these concerns. One of the decisions made by BPS to help solve this problem was by giving PCL and PML the authority to not enumerate households on the LS List that they considered to be non-poor. In addition, the policy that allows PCL to include additional low to lower middle socioeconomic households was in fact also aimed to work as safeguard.

In its implementation, residents generally accepted PPLS 2011 in well and calm manners. Nevertheless some residents expressed their boredoms of having to deal with so many enumerations without ever having felt the benefits. In the same year before PPLS 2011 was implemented, most residents had experienced several BPS data collections like the agricultural and fisheries surveys.

The majority of people did not know for sure what the aims of PPLS 2011 were as there was a deliberate effort to not widely socialize the data collection. In connection to this policy, a *kecamatan* secretary, who was also working as PML, viewed the decision to limit socialization as “thinking of people being stupid while at the same time trying to fool them”. According to the secretary, correct, clear and explicit explanations concerning the aims of the data collection need to be given to the community regardless of their level of education without having to worry about the possibility of causing riots. This approach is important as a way to educate the society by showing them the open and honest sides of the governmental officials. This strategy requires PML and PCL to not only work hard but also mastering the art of communication with the people. In this case, PML and PCL need to be equipped with sufficient knowledge on communication and social psychology.

Some residents believed that the data collection was related to a coming governmental assistance program. Due to the limited explanation on the aims of PPLS 2011, there was a perception that all enumerated households would receive aids. Hence some respondents may deliberately give false information in the hope of being considered as poor households who would receive government aid. Most people had also not understood the concept of social protection or security along with rights and responsibilities of their beneficiaries or targets. Hence, every activity that uses the word “social” tends to be associated by the community as an aid program, like BLT.

In general, most problems identified in the field study were found in the implementation stage of PPLS 2011. Conceptually, PPLS 2011 has many advantages and were considered better than the previous data collections. The targeting concept which uses a quantitative model for the initial and final data, combined with participatory actions and field observations (sweeping) is an innovative and potential system in poverty data collection framework of Indonesia. Such targeting system complemented by a large coverage can potentially prevent the occurrence of exclusion and inclusion errors which have always been criticized. The availability a higher quality national unified database will increase the effectiveness of poverty reduction program implementation as well as supporting the goal of reducing the national poverty. Nonetheless field observations have shown that various efforts to increase the quality of data and its utilization, as well as ways to avoid public chaos are required to achieve this goal.

## IV. POLICY RECOMMENDATIONS

1. **Field implementers.** A data collection such as PPLS 2011 requires field implementers (enumerators, supervisors and data entry staff) who are able to: understand the basic concepts being used; communicate well; work with high intensity and energy; and be honest. Therefore:
  - Recruitment of field implementers must be done rigorously and must follow all of the requirements and criteria;
  - Employing the usual partners of BPS is considered appropriate given that factors such as performance and regeneration become the main considerations;
  - Employing partners who hold positions in the *village/keurahan* office may be continued due to several advantages in the knowledge of the local areas, the acceptance and recognition by the community, and the strength in the legitimacy and coordination during field operations. Nonetheless, the work performance aspect must remain to be the prime consideration, and;
  - All of the staffs involved (PCL, PML, data entry staff) shall not hold multiple roles or be burdened by other responsibilities to ensure the quality of work.
  
2. **Socialization**
  - In principle, socialization on the objectives of a program have to be publicly disseminated, especially to all of the relevant parties;
  - When socialization is designed only for limited audience with the purpose of obtaining more comprehensive data, the information presented must be uniform, clear, sensible, and suitable for that purpose. The choice in the title of the data collection must be reconsidered as to avoid any misperceptions that may harm the aims of the data collection;
  - At this moment, as there had been assumptions that PPLS 2011 will be followed by an aid distribution, a follow-up socialization needs to be conducted to clarify about the relationship between PPLS 2011/unified database and the targeting of social programs, including a strategy reaching out to households who may be assuming that all enumerated households will receive aid;
  - Socialization to PCL has to be clearer and more unequivocal; it also has to contain the objectives and basic concepts of PPLS 2011 such as “data collection of low to lower-middle socioeconomic households”, the “principle of maximum coverage”, and the idea that “the households enumerated will not necessarily become program beneficiaries”.
  
3. **Training.** As PCL are frontlines in the data collection, the quality of data obtained really depends on the effectiveness of trainings attended by PCL. Some inputs to improve these trainings are:
  - The duration of the training should be prolonged so that the instructors can cover all the training materials as well as explaining the objectives and basic concepts thoroughly. More time should also be provided for discussions;
  - The training materials have to be made simpler and more comprehensive. Materials in video and PowerPoint formats must be maintained and improved. Relevant supporting facilities must also be provided in every training classroom;

- Training needs to include; practice for PCL to fill out questionnaires, practice on how to consult with poor households, and the post-training written test results need to be examined and discussed to improve the participants' knowledge and understanding, and to encourage their attentiveness and hard work during the training;
  - To support the provision of an engaging and comprehensive source of information, the manual and handbook need to be made simple, short, and easy to understand; the books must contain adequate information, have an interesting layout, and be readable;
  - In areas where a lot of instructors are needed, the requirement to fulfill selection criteria must still be strictly followed. In cases where there will be not enough fine instructors in a certain *kabupaten/kota*, they have to be brought in from other areas, and;
  - If there is only one training session for both PML and PCL, more time should be given for additional materials on supervising by PML. This will help to provide effective supervision.
4. **Households target/quota setting.** The success of this activity is highly determined by the availability of a precise list of pre-selected households, clear and unequivocal guidelines and criteria, and an effective dissemination of information.
- The matching process of PPLS 2011 pre-listed lists, PPLS 2008 and PKH waiting lists must be done at the central level to ease workloads of the regional implementers;
  - All pre-listed lists of households need to be sent initially to the *kabupaten/kota* BPS office for verification to avoid any high socioeconomic households (for example the wealthiest 20%) appearing on the pre-listed lists. The verification must be reported to the central BPS along with the reasons for the deletion of the pre-listed households:
  - There needs to be clear and strict explanations on criteria of important terms such as; the middle-to-higher-class households and households that have to be eliminated from the list, (required if amongst the listed households there are households from a high socioeconomic level);
  - Field implementers must have a clear and comprehensive understanding on both the objectives and the basic concepts in the data collection such that; the quota of households in the pre-listed lists is not the maximum but rather the minimum number of households that must be enumerated. To avoid any misunderstanding or confusion, concepts that are irrelevant for the field implementers such as the "40% quota" or the "45% quota" should not be given. Besides, the real number of poor households in areas with high levels of poverty can be much higher than the initial quota,
  - The consultation with poor households and the sweeping mechanisms to determine the final list should be maintained; however, the consultation procedures do not need to be strictly formulated so that consultation can take forms of a discussion with any enumerated households or other reliable informants, individually or in groups; and
  - The involvement of village/*kelurahan* officials, including the heads of RT, in determining which households should be enumerated has to be kept at minimum to prevent intervention; yet officials can be a source of information with regards to the socioeconomic condition of the households but the final decision should be in the hands of PCL who work under the supervision of PML.

#### 5. Enumeration.

- A new mechanism that can guarantee that the enumeration is done in accordance with the standard procedures and that it produces quality data must be developed;

- In order to better capture the socioeconomic conditions in the community, some improvements to the questionnaires should be made such as; additional variables on the ownership of livestock and farming field, the elimination of variable on the ownership of mobile phones which are no longer considered as luxury items, and the setting up of clear boundaries on several variables like the area of the house and types of occupation.
6. **Supervision and monitoring.** These activities are conducted in an effort to make sure that the enumeration is done in line with the procedures and can produce quality data;
- The concept being used is fine and clear but it needs to be followed by an accurate implementation;
  - To optimize the checking function, it is not recommended to appoint staff members of BPS or *kecamatan* statistics coordinators as PML. It is only then that the control and monitoring functions can be done more rigorously for every level. BPS/*kecamatan* statistics coordinators will monitor PML and PML will monitor PCL; and,
  - The quality monitoring system via SMS has to be perfected or, if necessary, can be replaced with a better system.
7. **Data entry.**
- To ensure the effectiveness and the accuracy of the data entry process, the task should be assigned to specific persons;
  - Before the data is entered, the completed questionnaires have to be thoroughly examined by the supervisor/PML to check for incomplete, incorrect, or inconsistent data; thus, the data entry process can be done more smoothly;
  - The data entry process should be done in one concentrated location to accommodate supervising and immediate problem-solving; and
  - The data entry software has to be prepared as early as possible and its format must support quick and precise data processing.
8. **Time.**
- The duration of data collection for PPLS 2011 should be prolonged so that PML can examine thus improving the accuracy on which households being selected as well as on the data collected during enumeration.
  - In the future, any type of data collection like PPLS 2011 must have enough time for every stage of its activity to be fully carried out while taking into account all the possibilities that can slow down the process.
9. **Further activities.**
- To increase the level of accuracy of the data collected during PPLS 2001, a verification stage should be included at least in determining which households must be included in the data collection;
  - On a limited scale, determining which households to be enumerated can be approached by conducting a study on several sample areas. A qualitative method using focus group discussions (FGD) is one of the alternative ways to obtain information about residents' welfare conditions which results can then be compared to the socioeconomic rankings obtained from PPLS 2011.

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# APPENDIX

## Review of the Implementation of the 2010 Census in North Jakarta

The 2010 Population Census (SP 2010), is an important part of PPLS 2011 because the SP 2010 data was used as the base data for compiling the LS or Pre-Listed List of households that were surveyed in PPLS 2011 using the PovTar model. As a result of this the accuracy of the sp 2010 data will influence the accuracy of the LS List. If there were cases of households, especially low to lower-middle socioeconomic households, that were missed or not enumerated properly, there is a possibility that the households were not included on the LS List.

In the study conducted to learn from the implementation of SP2010, the SMERU researchers carried out in-depth interviews with several parties involved in the SP2010, like BPS staff and *kelurahan* authorities in North Jakarta. The researchers also re-surveyed ten randomly chosen households across two RT in Kelurahan Rawa Badak Selatan, Kecamatan Koja. Besides this, the researchers also interviewed residents of illegal settlements located on land owned by a large state company to gauge the coverage of the SP2010. This land, which is inhabited by 5,000–7,000 of these people, consists of several “shadow” RT, or an RT that is under the supervision of another RT located in a legal settlement.

### Implementation of SP2010

The organizational structure of SP2010 consisted of the; *kecamatan* statistics coordinators (KSK) as supervisors, field coordinators, team coordinators, and enumerators (PCL). Each team coordinator supervises three PCL and each of them enumerates 6–7 census blocks. According to BPS section head of North Jakarta, all field coordinators, team coordinators and PCL were recruited in January–February 2010; having sent an application letter to the *kelurahan* administration and Karang Taruna (youth centers), followed by attending an interview and a written test. The area of Kota Jakarta Utara recruited about 3,500 PCL, who were generally local residents and senior high school graduates. It was informed that a PCL received an honorarium of Rp2.8 million, plus transportation costs.

The implementation of SP2010 in North Jakarta was divided into four stages:

1. On 1–8 May 2010, the implementation of the data collection began with the listing or registration of all buildings and households using form L1 which generated the temporary number of population. During the *listing* activity, every building was marked with a sticker and every household was asked about the number and gender composition of the household.
2. On 9–31 May 2010, every household, including those living on land illegally, were visited again in order to fill out form C1 which was a detailed household data collection form. Enumeration was conducted on all residents who had occupied or planned to occupy a certain area for six months or more, both those who already had a local ID card and those who had not. For residents belonging to a special census blocks such as prisons or military barracks, data collection was conducted by using form C2.
3. The process was extended from 1–15 June 2010 for completing data that was still missing.

4. On 15 June 2010, BPS collected data on nonpermanent residents such as the homeless, ship crews staying in the harbor, and so on. This data collection was conducted simultaneously starting at 24:00 p.m. until completely finish so as to avoid double counting. The data collection was conducted using form L2 whose questions were not as detailed as the questions for local residents. Especially for this data collection, data collection was carried out by permanent staff of BPS, with the involvement of various relevant agencies, such as the police, social affairs agency, as well as *kelurahan*, *kabupaten*, and *kecamatan* administration officials.

Monitoring of the enumeration process was carried out gradually. The team coordinators supervised directly the data collection in the field. Field coordinators supervising team coordinators were stationed at the RW post to distribute forms and help solve problems in the field. Furthermore the KSK oversaw the field coordinators. In addition, the KSK, field coordinators, team coordinators, and PCL also met regularly to conduct cross-examination of enumeration documents. The North Jakarta BPS also formed a taskforce to assist the enumeration. During the enumeration, there were several NGOs and students of STIS (Institute of Statistics) who performed quality control.

Based on interviews, it was found that all household samples had been visited during the SP2010 data collection, including residents in the illegal settlements. But the performance of PCL appears to be inconsistent because some household samples admitted that they were only visited once by PCL both for the interview and the placing of the sticker. Some of the household sampled stated that some PCL asked the complete questions written in form C1, while some others stated that they were only asked by PCL about the number of household members, education level, and employment. All the household samples did not experience any change in the number of household members and employment compared with the SP2010 data collection. They also did not hear of any other household not being enumerated.

Based on interviews with staff of BPS, information was obtained that during the SP2010 there were residents who reported to BPS for not being enumerated. The vigorous socialization campaign in the media had encouraged these residents to report directly to BPS SMS Center and asked to be enumerated. This report was not acted on with a re-check of the data of residents who had been surveyed to ensure that the residents had not been surveyed. BPS then informed the heads of the RT or requested those residents to visit the head of their RT to fill-in the supplied form.

According to BPS, there were residents who were not surveyed because the enumerator did not see any activity in the house so they considered it to be vacant or because the occupier was rarely at home. To overcome this, the enumerator usually worked with the head of the RT to inform residents so that they were at home at certain times.

There were also residents who were not surveyed because they refused to be, giving the reason that they often participated in surveys but they never felt that there was any benefit to them. Cases of refusing to be surveyed also came from residents living in elite housing estates or who were very wealthy. In overcoming this problem the enumerator had to use persuasive approaches like visiting in the evening accompanied by the RT authorities known to the household.

The data collection of people living in elite apartments sometimes caused problems like those mentioned above. Besides residents being reluctant to be surveyed and difficult to meet with, there were also apartments with tight security systems that prevented the enumerator from

meeting the resident directly. In these types of cases, the enumerator left a data collection form to be filled-in on their own by the occupant of the apartment with the name of a contact person being left in case of any difficulties filling the form in. In relation to this matter, collecting data from residents living in apartments, BPS formed a special team.

Another problem found during the implementation of SP2010 was the variation between enumerators of the instruments they were using. There were PCL who had difficulty reading maps, to the extent that there were disagreements about territorial boundaries between PCL. There were also cases of PCL also had trouble classifying economic activities, such as difficulties distinguishing between trade business and hotel and restaurant business.

### **Influence of SP2010 data on the quality of PPLS 2011 Pre-Listed Households**

Based on the above explanation, it is known that the location of residences, especially those built illegally on private land, did not cause a household to not be listed on the LS PPLS 2011 because the SP2010 data collection was conducted based on the physical building of the residence, not based on the population administration. In addition, there were various efforts made by BPS in collaboration with other parties in order that all households were enumerated, except those who refused.

If there were eligible households that were not included on the LS List, there is a possibility that this was caused by a mistake when filling-in form C1 SP2010 because the households were not asked directly or because the enumerator did not understand about the choice of answers that could be used. The form contained an explanation about the socioeconomic conditions of the households such as their education, employment, and the conditions of their residence. A mistake in filling-in this form could influence the validity of the household data which was used to determine the Pre-Listed List of PPLS 2011.