

**Employer Survey Design Planning Report
Skills Toward Employment and Productivity (STEP)**

AZERBAIJAN

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Table of Contents

Introduction	2
PART 1: World Bank Country Team	3
1.1. Rationale for the STEP Survey	3
1.2. Country-specific Survey Objectives.....	3
1.3. Employer Questionnaire.....	4
1.4. Fieldwork.....	4
1.5. Sample Frame and Benchmark Variable Counts.....	5
PART 2: Survey Firm – Survey Instruments and Fieldwork.....	6
2.1. Project Team	6
2.2. Employer Survey Questionnaire.....	6
2.3. Fieldwork Teams.....	11
2.4. Fieldwork.....	14
2.5. Data Processing	23
2.6. Confidentiality.....	28
2.7. Quality Assurance.....	29
2.8. Schedule.....	30
2.9. Budget.....	30
PART 3: Survey Firm – Sampling and Weighting.....	32
3.1. Target Population	32
3.2. Sample Size.....	33
3.3. Response Rate Goal and Non-Response Bias Assessment.....	34
3.4. Sample Frame.....	36
3.5. Sample Design	39
3.6. Weighting.....	42
Appendix.....	43

Introduction

The Employer Survey Design and Planning Report is aimed at clarifying implementation procedures outlined in background documents provided by the STEP Team to the Survey Firm (e.g., Interviewer Manual).

Please fill out and read carefully the whole document. As it is based on the Terms of Reference and Technical Proposals submitted by the Survey Firm, it is a binding document on implementation procedures.

After ensuring that each section accurately reflects the implementation procedures, both Task Team Leaders and Project Managers are required to sign the document.

PART 1: World Bank Country Team

1.1. Rationale for the STEP Survey

1. Please provide a brief background of the country's involvement in the STEP survey.
 - a) Include, for example, a brief overview of the demand for skills in the country, the presence or absence of skill gaps and skill mismatches, reasons for participation, expected benefits for the country, etc.
 - b) Provide information on the country's involvement, if any, in previous surveys on skills.

2. Identify the sponsoring organization

1.2. Country-specific Survey Objectives

1. Please provide a list of country-specific objectives

2. Please provide any relevant background and supporting rationale for the country-specific objectives

1.3. Employer Questionnaire

<i>Technical Standard</i>	<i>Description</i>	<i>Approved by the Core Team</i>
1. Country-specific Questions Each country is permitted to insert country-specific questions in the Employer Questionnaire. The questions and their placement must be confirmed with the STEP Core Team.	<i>N.a.</i>	
2. Random Selection of Employee Types for the Employer Questionnaire Provide the firm with the share of the labor force in Azerbaijan for each of the 10 listed categories of employees (Appendix 1). The random selection stickers in the Employer Questionnaire use these shares to generate employee types the Interviewer will ask specific questions about.	<i>N.a.</i>	

1.4. Fieldwork

<i>Technical Standard</i>	<i>Description</i>
3. Advance Survey Information Please describe briefly the initial method of approaching targeted employers.	<i>N.a.</i>
4. Respondent Incentive If applicable, please describe the respondent incentive mechanism <i>The following should include information on the nature of the token, its cost, the criteria through which it will be given, monitoring/controlling procedures, and the overall cost.</i>	<i>Respondents were offered small office items (e.g., pen, notepad)</i>

1.5. Sample Frame and Benchmark Variable Counts

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Approved by Sampler? Date</i>
<p>1. Sample Frame Counts The World Bank Country Team Task Leader will provide the Sample Frame counts that correspond to the sample design units to the STEP Team for weighting. [Note: This information may have already been provided with the sampling information.]</p>	<p><i>See Part 3</i></p>	
<p>2. Benchmark Variable Counts (if applicable) If the country requires the calculation of a benchmark weight then the World Bank Country Team Task Leader must specify the desired benchmark variables and provide the pertinent counts of the benchmark variable totals. In other words, if the basic population weights are to be adjusted to more recent known population totals (e.g., an updated Sample Frame) or more reliable known population totals from a source other than the Sample Frame (e.g., National Census of Enterprises), then the World Bank Country Team Task Leader will provide the pertinent counts of the benchmark variable totals.</p>	<p><i>N.a.</i></p>	

2 PART 2: Survey Firm – Survey Instruments and Fieldwork

2.1. Project Team

The information provided in this section can be drawn from the Technical Proposal

2.1.1. Qualifications and Expertise of the Survey Institute

1. Identify the leading survey institute

Name	Caucasus Research Resource Centers
When was the survey institute founded?	The Caucasus Research Resource Centers program (CRRC) is a network of resource, research and training centers established in 2003 in the capital cities of Armenia, Azerbaijan and Georgia.
Owner	The Caucasus Research Resource Centers (CRRC) is a program of Eurasia Partnership Foundation funded by the Carnegie Corporation of New York.
Headquarters' address	1350 Connecticut Avenue, NW Suite 1000; Washington, DC 20036
Contact information	Yuliya Aliyeva: yulia@crccenters.org Tiko Ambroladze: tiko@crccenters.org

2.2. Employer Survey Questionnaire

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<p>Each participating country will implement the Employer Questionnaire prescribed by the STEP Team.</p>			
<p>1. Translation of the Employer Questionnaire The Employer Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Team. These guidelines include:</p> <ul style="list-style-type: none"> ▪ A translation by a qualified translator ▪ The translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. ▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator ▪ If the Employer Questionnaire is administered in several languages, the above procedure will be followed for the translation of the Employer Questionnaire in each language 	<p><i>English-Azerbaijani translation of the questionnaire will be done by Aynur Hajiyeva. She has 2 years experience in translation/interpretation and has worked with CRRC on various projects.</i></p>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<p>2. Translation of all Survey Materials (with the exception of the questionnaire) All Survey Materials will be translated based on guidelines provided by the STEP Team.</p> <p>The Survey Materials include:</p>	<p><i>Agreed</i></p>		
<ul style="list-style-type: none"> ▪ The Interviewer Manual, which will be translated by a qualified translator 	<p><i>English-Azerbaijani translation of the interviewer manual will be done by Farid Guliyev. He has 11 years experience in translation/interpretation and has worked with CRRC on various projects.</i></p>		
<ul style="list-style-type: none"> ▪ The PowerPoint Presentations for the interviewers’ training, which will be translated by a qualified translator 	<p><i>English-Azerbaijani translation of the power point presentation will be done by Aynur Hajiyeva. She has 2 years experience in translation/interpretation and has worked with CRRC on various projects.</i></p>		

<ul style="list-style-type: none"> ▪ The Brochure presenting the STEP Survey, which will be translated by a qualified translator 	<p><i>English-Azerbaijani translation of the brochure will be done by Farid Guliyev. He has 11 years experience in translation/interpretation and has worked with CRRC on various projects.</i></p>		
<ul style="list-style-type: none"> ▪ If the Employer Questionnaire is administered in several languages, the Materials listed above will be translated as needed 	<p>Not applicable</p>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
3. Pilot Survey The Employer Questionnaire will be pre-tested as required by the STEP Team and as specified below:			
<ul style="list-style-type: none"> ▪ Finalized questionnaires will be tested in a pilot test of 6-10 firms 			
<ul style="list-style-type: none"> ▪ <i>Sample:</i> 			
<ul style="list-style-type: none"> - Number of firms 	<i>TBD</i>		
<ul style="list-style-type: none"> - Small and large firms – <i>please specify how many of small and large firms</i> 			
<ul style="list-style-type: none"> - Various sectors – <i>please specify the sectors and the number of firms per sector</i> 			
<ul style="list-style-type: none"> - Various geographical areas – <i>please specify the areas and the number of firms per area</i> 			
<ul style="list-style-type: none"> ▪ The pilot test will be administered by the main trainer(s) for the interviewer training 	<i>The Pilot Training will be conducted by Yuliya Aliyeva and Seymour Javadov</i>		
<ul style="list-style-type: none"> ▪ Data collected during the Pilot Survey will be entered through the Data Entry Program 		<i>CRRC will use CSPro program from data entry.</i>	
<ul style="list-style-type: none"> ▪ Submit a 5-10 page report to the WB including recommendations for any changes in implementation or questionnaire translation, etc 	<i>Agree.</i>		

2.3. Fieldwork Teams

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
1. Interviewer and Supervisor Hiring Plan			
<ul style="list-style-type: none"> ▪ Interviewers' Qualifications Interviewers and Supervisors should at minimum be high school graduates 	<i>Agree.</i>		
<ul style="list-style-type: none"> ▪ Number of interviewers and Supervisors 			
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	<i>20 interviewers and 4 supervisors</i>		
<ul style="list-style-type: none"> ▪ Method of payment Interviewers' remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a piece-meal basis. 	<i>Disagreed.</i>	<i>CRRC interviewers are always remunerated on a piece-meal basis and this method works well. We will do the same during this survey. Interviewers will get honorarium based on the completed interviews.</i>	<u>Approved</u>
2. Interviewer Training Plan			
<ul style="list-style-type: none"> ▪ Training dates 	<i>Beginning of May</i>		

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
	2013		
<ul style="list-style-type: none"> ▪ Fieldwork must start within 4 days of finishing training 	Agreed		
<ul style="list-style-type: none"> ▪ Location of the training Please note that the interviewers' training should take place in one single session and location 	The training will take place at CRRC office in Baku.		
<ul style="list-style-type: none"> ▪ Training will be based on material provided by the STEP Team and translated by the Survey Firm 	Agreed		
<ul style="list-style-type: none"> ▪ Training will consist of 2 full days of in-class training, plus at least one practice interview in a workplace and a debriefing session 	Agreed		
<ul style="list-style-type: none"> ▪ Trainers <ul style="list-style-type: none"> - Head Trainer(s): Name(s), education level, and whether they attended the “Train the Trainer” videoconference session held from Washington DC - Assistant Trainers: Names, education level, and whether they attended the “Train the Trainer” videoconference session held from Washington DC 	<p>Head Trainer: Yuliya Aliyeva (MA in Gender Studies) Attended the training session.</p> <p>Assistant Trainer: Seymur Javadov (MBA). Attended the training.</p>		
<ul style="list-style-type: none"> ▪ Training Evaluation Report: the Survey Firm will send the STEP Team a one-page training report including the following information, within one week of the end of training: <ul style="list-style-type: none"> - List of trainees (names) - List of selected interviewers - List of selected supervisors 	Agreed.		
<ul style="list-style-type: none"> ▪ If the first reports from the fieldwork reveal a lack of understanding of some sections of the questionnaire, the firm will retrain all field staff on these sections 	Agreed.		

2.4. Fieldwork

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
1. Data Collection			
<ul style="list-style-type: none"> ▪ Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method. 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ In the event an interviewer’s work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone. 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ Please indicate the methods through which the staff will be communicating during fieldwork. E.g., scheduled daily/weekly telephone calls, e-mail of supervisors 	<i>Supervisors will have to submit weekly reports by email or handwritten. Also, they will be contacted daily by phone. In case of emergency supervisors or interviewers can contact CRRC staff anytime.</i>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<p>2. Fieldwork Supervision</p> <p>2.1 Regional Supervisors</p> <ul style="list-style-type: none"> ▪ Each interviewer will report to a Regional Supervisor. ▪ Regional Supervisors’ responsibilities include: <ul style="list-style-type: none"> - Coordinating fieldwork in the assigned region - Full-time work with the interviewers and on-going monitoring of interviewers’ work - Checking non-response, activation of reserves, problems encountered, and communicating regularly with the Field Manager - Submitting questionnaires and fieldwork tracking forms to Headquarters 	<p><i>Agreed.</i></p>		
<p><u>Quality control by Regional Supervisors:</u></p> <ul style="list-style-type: none"> - At least one meeting per week with each interviewer to discuss progress and/or problems. - Random spot visits during interviewers’ work to observe interviews. For each interview observed, provide a 1-page evaluation report - Follow-up of non-response cases and document all relevant information - Check each accepted questionnaire for completeness and accuracy before submitting to Headquarters - Interviewer visit verification: the Supervisor will revisit 15% of each interviewer’s assigned firms. (Telephone calls are permitted for up to 1/3 of the revisits). The firms to revisit will be selected randomly by the Field Manager or Headquarters. 	<p><i>Agreed.</i></p>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<p>2.2 Field Manager</p> <ul style="list-style-type: none"> ▪ The Field Manager is responsible for the entire fieldwork. ▪ The Field Manager’s responsibilities include: <ul style="list-style-type: none"> - Set up the field structure and reporting structure, with Regional Supervisors <i>Please briefly explain the field reporting structure.</i> - On-going monitoring of fieldwork, and reporting to Project Manager. 	<p><i>Supervisors will be responsible for weekly reporting to the Field Manager and also daily updated by phone. The written fieldwork report will be submitted by Field Manger by the end of the fieldwork.</i></p>		
<p><u>Quality control by Field Manager</u></p> <ul style="list-style-type: none"> - Frequent communication with Regional Supervisors to discuss progress and problems. - Provide support to resolve any questions on questionnaires, non-response, documentation or any other problems encountered by the interviewers in the field - Random spot visits the field to observe progress, and to participate in interview visit verification - The STEP Team may also ask to attend verification revisits, and 	<p><i>Agreed.</i></p>		

randomly choose the firms to revisit			
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<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
3. Activating Reserve Samples			
<ul style="list-style-type: none"> ▪ Interviewers should make every attempt to interview all firms on their lists, if necessary repeating visits to the same company. ▪ Supervisors should provide support, and should visit firms that have refused to take part in the Survey, to try to convince them to cooperate 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ The following steps will be followed if the firm requires replacements in order to complete the targeted number of interviews: 			
<ul style="list-style-type: none"> i. The Survey Firm completes the original sample, making every effort to interview each firm on the list. At the end of interviewing all the originally sampled list of [300-1000] firms, the Survey Firm will submit the list of completed firms, the data from these firms, and the questionnaires to the STEP Team. 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ii. For any firm for which an interview was not completed, the survey firm must provide a complete account of the reasons, i.e., refusal, shut down, moved, could not be located, etc., as well as other information that it may have retrieved about the firm (such as number of employees, if part of larger firm, type of ownership, etc). iii. Detailed records of attempts made, and all circumstances must be kept for all non-interviews of originally selected firms. 	<i>Agreed.</i>		
<ul style="list-style-type: none"> iv. The Survey Firm will use the reserve list when replacements are needed. v. Firms must be taken in order from the list, starting with the first firm in an applicable stratum. Again, if for any firm on that list, an interview was attempted and could not be completed, all information must be recorded on a tracking form. 	<i>Agreed.</i>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<ul style="list-style-type: none"> vi. If the Survey Firm does not complete the targeted number of interviews after having gone through the original sample list and the reserve list, options will have to be discussed with the STEP Team. vii. If the World Bank team validates the work carried out on the first two lists, it may provide a second reserve list. viii. This last step may be repeated if necessary, until the correct number of firms is interviewed. 	<i>Agreed.</i>		

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
4. Minimizing Non-Response Rates			
<ul style="list-style-type: none"> ▪ PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES ▪ Please describe the Survey Firm’s strategy to reduce non-response rates. In particular: <ul style="list-style-type: none"> i. Flexible scheduling times for the interviews ii. Prior contact strategy iii. Introduction letter from the World Bank and relevant government ministries iv. Incentives, if any v. If the interviewer is unable to gain the cooperation of a selected firm, the case will be referred to the interviewer's supervisor who will attempt to convert such cases to completed interviews. 	<p><i>CRRC will maximize response rates by contacting sampled firms in advance by phone, whenever possible, and scheduling interviews based on the preferences of the sampled firms. The CRRC will also provide incentive in a form of stationary set for all interviewed companies. Also, supervisors, or CRRC staff in exceptional cases, will accompany interviewers and help them to schedule the interviews, if they have problems scheduling the interview themselves.</i></p>		
<ul style="list-style-type: none"> ▪ Non-Response Bias Assessment Each participating country is responsible for assessing the bias due to non-response and reporting the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey 	<p><i>CRRC will use 3 methods:</i> <i>1. A comparisons of respondents and non</i></p>		

<p>results in the STEP international survey publications. (See additional information in section 3.3) Therefore, it is critically important to make every effort to minimize the non-response rate and the resulting potential bias.</p>	<p><i>respondents on auxiliary sampled frame variables;</i> 2. <i>A comparison of the response rates by industry subgroups;</i> 3. <i>A comparison of late or hard-to-contact or non-cooperative respondents to early or easy-to-contact or cooperative respondents.</i></p>		
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<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
5. Fieldwork Monitoring by the STEP Team			
<ul style="list-style-type: none"> ▪ Weekly Update <ul style="list-style-type: none"> - The Survey Firm will provide weekly updates to the STEP Team on fieldwork progress 	<i>Agreed.</i>		
<p>The Weekly Updates will include:</p> <ul style="list-style-type: none"> - The number of firms visited by firm size, sector, and geographic area - The number of refusals by firm size, sector, and geographic area - Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates. 	<i>Agreed.</i>		

2.5. Data Processing

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
1. Data Capture and Verification Plan a. Data Entry <ul style="list-style-type: none"> ▪ Each country's STEP data file will be created according to the Variable Convention provided by the STEP Team 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ The Survey Firm may use the Data Entry Program provided by the STEP Team, which is based on a custom-written Excel macro and features data capture screens mirroring the questionnaire pages, or it may use its own Data Entry Program 	<i>CRRC will use own data entry program developed using CSPro.</i>		Approved <u>Please note that it will need some slight adaptation</u>
<i>If the Survey Firm uses the STEP Data Entry Program:</i> <ul style="list-style-type: none"> ▪ The STEP Team will provide training on the use of the Data Entry Program to the country's IT team ▪ There will be a 1-day training session for data entry operators on the Data Entry Program <i>Please provide the name of the trainer</i> 	<i>N/A</i>		
<i>If the Survey Firm uses its own Data Entry Program:</i> <ul style="list-style-type: none"> ▪ It will send it to the STEP Team no later than 2 weeks before the start of the fieldwork ▪ The Data Entry Program will strictly conform with the Variable Convention provided by the STEP Team 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ Training of the Data Entry persons They should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ Please provide the name of the person responsible for Data Entry and 	<i>Seymur</i>		

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
Management as well as the number of people assigned to Data Entry	<i>Javadov, Program Associate and Database Analyst.</i> <i>Number of data enterers – 4.</i>		
b. Data Capture Verification <ul style="list-style-type: none"> ▪ Data capture of the Employer Questionnaire will be entirely verified through double data entry ▪ Two different operators will carry out the double data entry 	<i>All questionnaires will be entered twice by different operators to minimize data entry errors.</i>		
<i>If the Survey Firm uses the STEP Data Entry Program:</i> <ul style="list-style-type: none"> ▪ All differences in the captured data will be resolved by the second data entry person, using the STEP-provided data entry program, which flags differences 	<i>N/A</i>		
<i>If the Survey Firm uses its own Data Entry Program:</i> <ul style="list-style-type: none"> ▪ Please indicate how differences will be reconciled 	<i>CRRC will ensure correct variable names in data entry platform and thus will make the form</i>		

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
	<i>compatible to the given variable convention. Method: double blind data entry method followed by manual check of the discrepancies</i>		
<ul style="list-style-type: none"> ▪ The data entry will start no longer than 5 days after the start of the fieldwork, so that information from the data entry can inform the process of the survey 	<i>Agreed.</i>		
<ul style="list-style-type: none"> ▪ The country is expected to transmit the first week of data within two weeks of the start of the fieldwork 	<i>Disagreed.</i>	<i>CRRC is always using double blind data entry method followed by manual check of the discrepancies in order to ensure the quality of row database. After creating the row data base CRRC performs data cleaning, which last</i>	<u>Approved</u>

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
		<i>for about 7 days. We want to apply the same practice for current project.</i>	
<p>2. Tracking Respondents' Sample Identification Number</p> <ul style="list-style-type: none"> ▪ Each Employer who completes the questionnaire should have a unique code for data entry. ▪ Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires. ▪ A field for recording the respondent's Sample Identification Number is required on all survey instruments and any pertinent supplementary material. 	<i>Agreed.</i>		

<i>Technical Standard / Required Information</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Core Team</i>
<p>3. Plan for Coding of the Employer Questionnaire</p> <ul style="list-style-type: none"> ▪ Coding will be undertaken by at least one Coder working at the Head Office <i>Please provide the name of the Head Coder and Assistant Coders if any</i> ▪ Pre-coded response categories from the Employer Questionnaire will follow the Variable Convention provided by the STEP Team ▪ The following codebooks will be used to code education, occupation, and industry information from the Employer Questionnaire: <ul style="list-style-type: none"> - ‘2008 International Technical Standard Classification of Education (ISCED)’ will be used to code the education variable, i.e., ‘highest level of education’ - ‘International Technical Standard Industrial Classification of All Economic Activities, Third Revision’ will be used to code the industry variable. 	<p><i>Seymur Javadov, Program Associate and Database Analyst.</i></p> <p><i>Agreed.</i></p> <p><i>Agreed.</i></p>		
<p>4. Submission of the Employer Questionnaire data to the World Bank</p> <ul style="list-style-type: none"> ▪ Each country will submit the Employer Questionnaire data to the World Bank ▪ The edited data file should be free from errors and conform to the Variable Convention ▪ The final clean data file must include: <ul style="list-style-type: none"> - one sample record for each sampled case (i.e., both initial and reserve sample) - a response code (e.g. complete, refusal, ineligible, other non-response, unused reserve sample) for each sampled case. 	<p><i>Agreed.</i></p>		

2.6. Confidentiality

<i>Information Required</i>	<i>Description</i>
<p>1. Country's Data Confidentiality Requirements The Survey Firm will advise the STEP Team of its country's confidentiality rules regarding the handling and sharing of respondent's data.</p>	<p><i>The country's data confidentiality requirements are described in the The Law of the Republic of Azerbaijan on Official Statistics (1994):</i> http://e-qanun.az/print.php?internal=view&target=1&docid=8882&doctype=0</p>

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>
<p>2. Steps to Ensure Data Confidentiality</p> <ul style="list-style-type: none"> ▪ The survey instruments, the sampling, and the information gathered by the field workers cannot be used for personal or professional goals by the local consultant firm, field workers or the coordinator and advisor without the prior request and an approval by the World Bank. The data collected is completely confidential and shall not be revealed to any source by the Survey Firm. The ownership of any information and data belongs to the World Bank. ▪ All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities. 	<p><i>Agreed.</i></p>
<ul style="list-style-type: none"> ▪ Each country will submit the data file to the World Bank STEP team (regional team and core team). Data release beyond the World Bank teams may not be done until 6 months after the submission of the final data files. 	<p><i>Agreed.</i></p>

2.7. Quality Assurance

<i>Standard</i>	<i>Agreed</i>
<p>1. Quality Assurance</p> <ul style="list-style-type: none"> ▪ Quality assurance will be addressed at all stages of the STEP Survey. Many of the steps to ensure quality are outlined in earlier sections of this document. The following sections summarize the quality assurance measures to be implemented during the STEP. 	<i>Agreed.</i>
<p>2. Team Composition</p> <ul style="list-style-type: none"> ▪ The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys: <ol style="list-style-type: none"> 1. Name of National Project Manager 2. Name of Senior Survey Methodologist 3. Name of the Data Collection Manager/ Field Manager 4. Name of the Data Processing Manager 	<p>National Project Manager – Gursel Aliyev;</p> <p>Senior Survey Methodologist – Seymur Javadov;</p> <p>Data Collection Manager/ Field Manager – Yuliya Aliyeva;</p> <p>Data Processing Manager – Seymur Javadov.</p>
<p>3. Expert Meetings</p> <p>The National Project Manager is committed to attending the international meetings deemed necessary by the STEP Team. Similarly, other team members will participate in the international meetings when requested by the STEP Team.</p>	<i>Agreed.</i>
<p>4. Response Rate</p> <ol style="list-style-type: none"> a) Survey responses will be monitored throughout the data collection activity, b) The development and implementation of a contact strategy and a strategy to minimize non-response (described earlier in this report) are instrumental in assuring data quality. 	<i>Agreed.</i>
<p>5. Data Processing</p> <p>The following quality assurance procedures are planned:</p> <ol style="list-style-type: none"> a) Test of the data capture system b) 100% verification the captured data c) Creation of the STEP International Data File according to the Variable Convention specifications provided by the STEP Team d) Data editing 	<i>Agreed.</i>

2.8. Schedule

Employer Survey Timeline (preliminary)

Task	Date
Clarification of the sampling frame	April
Selection of the 800 firms (400 sampling plus 400 reserve) to be included to the final sampling	30-Apr
Submission of the ESDPR	2- May
Translating the questionnaire	15 - 24 April
Translating the manual	15 - 24 April
Checking translation	24 April- 26 April
Conducting pilot fieldwork	30 April-3 May
Entering the pilot questionnaires	6-May
Sending a report and database of the pilot fieldwork	10-May
Updating questionnaire and show cards if needed after the pretest	6-10 May
Printing the questionnaires.	13-17 May
Training of the interviewers for the main fieldwork	20- 22 May
Fieldwork	23 May-20 June
Data entry finished	25-Jun
Data entry cleaned	30-Jun
Sending the cleaned database	1-Jul

2.9. Budget

400 In-depth Interviews, Azerbaijan			
Personell Costs			
	Days	%%	Unit cost
Regional Program Director	6	50%	
Regional Coordinator	0	50%	
Country Director	8	80%	
Program Manager	18	100%	
Research Associate	18	100%	
Research Associate	0	100%	
Office Manager	6	60%	
Finance Manager	3	60%	
Employer social tax		22%	
Direct Costs			
	Unit	# of Units	Unit cost
Questionnaire translation x 3	Pages	75	
Interviewer manual translation	Pages	30	
Interviewer training	Days	4	
Printing	Questionnaire	500	
Honorarium for Pretest	Interviews	10	
Transportation for Pretest	People	2	
Honorarium for Interviewers	People	400	
Incentives	People	400	
Data entry (twice)	Questionnaire	400	
Analysis and Reporting	Days	8	
Communication for Interviewers	People	20	
Transportation Interviewers	People	20	
Final report	Days	10	
SUBTOTAL			
Indirect Costs			
			%%
Overheads			10%
SUBTOTAL			
TOTAL IN-DEPTH INTERVIEWS			

3 PART 3: Survey Firm – Sampling and Weighting

3.1. Target Population

<i>Technical Standard</i>	<i>Definition</i>	<i>Approved by the Core Team and the Sampler</i>
Target Population <i>Example:</i> The target population is all non-government enterprise workplaces in the urban regions of Azerbaijan.		
<ul style="list-style-type: none"> ▪ The survey unit is the Workplace, i.e., a place, such as an office or factory, where people are employed. <i>Note:</i> a firm may have several workplaces 		
<ul style="list-style-type: none"> ▪ The Survey Firm will conduct interviews in Workplaces varying in size. Please describe the criteria used to define “small” and “large” Workplaces (e.g., workforce size) 	<i>Please provide a definition</i>	
<ul style="list-style-type: none"> ▪ Sectors / Industries selected 	<i>Please describe the sectors or industries the Survey will focus on</i>	
<ul style="list-style-type: none"> ▪ Geographic areas 	<i>Please list which geographic areas the Survey will target</i>	
<ul style="list-style-type: none"> ▪ Other features of the Target Population 	<i>Please describe any other characteristic of the Target Population</i>	
<ul style="list-style-type: none"> ▪ Exclusions from the Target Population 	<i>Please describe any exclusion from the target population</i>	

3.2. Sample Size

<i>Technical Standard/Information Required</i>	<i>Definition</i>	<i>Approved by the Sampler? Date</i>
A minimum of [300-1000] interviews must be submitted to the STEP Team.		
Please provide the country's sample size goal.	<i>Sample size goal</i>	

<i>Information Required</i>	<i>Sample Size and Assumptions</i>	<i>Approved by the Sampler? Date</i>
Sample Size		
a. Provide the country's final sample size goal by sample design variable E.g. by strata, by PSU, etc <u>Minimum Sample Size:</u> [300-1000] firms		
b. Provide the country's overall initial sample size , including the size of the reserve sample by sample design variable E.g. by strata, by PSU, etc		
c. Assumptions: Describe the basis for the size of the reserve sample E.g. expected non-response rate		

3.3. Response Rate Goal and Non-Response Bias Assessment

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>
The response rate goal is to obtain an interview from at least 70% of the sampled firms.			

<i>Information required</i>	<i>Proposed Plan to Assess Non-response Bias</i>	<i>Approved by Sampler? Date</i>
<p>Non-response Bias Assessment</p> <ul style="list-style-type: none"> a) Each participating country will carry out an assessment of the bias due to non-response and report the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. b) Results from countries with response rates below 50% will not be published unless the country can provide the STEP Team with evidence that the potential bias introduced by the low response rates is unlikely to be greater than the bias associated with response rates above 70%. 		

<i>Information required</i>	<i>Proposed Plan to Assess Non-response Bias</i>	<i>Approved by Sampler? Date</i>
<p>c) If a country attains less than a 50% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the STEP Team, the country's survey results may be included in the STEP international survey publications with asterisks and footnotes as appropriate.</p> <p>The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include:</p> <ul style="list-style-type: none"> - A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A possible non-response follow-up procedure is to ask non-respondents a brief set of questions related to background questionnaire items. - A comparison of sample counts of key respondent variables to external totals from a reliable source; - A comparison of respondents and non-respondents on auxiliary Sample Frame variables; - A comparison of response rates by industry subgroup; - A comparison of estimates before and after weighting adjustments; - A comparison of “late” or “hard-to-contact” or “non-cooperative” respondents to “early” or “easy-to-contact” or “cooperative” respondents; - Calculation of the range of potential bias. 		

3.4. Sample Frame

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>
<p>Definition The Sample Frame is the list of firms from which the STEP sample will be selected. It defines the coverage of the targeted firms and provides the means to identify and locate selected workplaces.</p>	<input checked="" type="checkbox"/>		
<p>The Sample Frame should provide coverage of the targeted firms so that the number of unique, in-scope survey units on the Sample Frame comprises at least 95% of the targeted firms. It should be complete, accurate and up-to-date.</p>	<input checked="" type="checkbox"/>		

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Approved by Sampler? Date</i>
1. Frame type The Sample Frame may be a list of workplaces from the STEP Household Survey or another firm registry.	<u><i>The sample frame is a list of firms provided by the Azeri Statistical Office and updated by the World Bank Enterprise Survey Team in 2013.</i></u>	
2. If the Sample Frame isn't provided by the STEP Household Survey, please detail the frame fully, including:		
a) Source of the frame E.g., 2010 Firm Registry	<u><i>The sample frame is based on the sample frame used by the World Bank Enterprise Survey Team in its 2013 survey.</i></u> <u><i>This WB Enterprise Survey sample frame lists all non-agricultural private sector firms with more than 5 employees.</i></u> <u><i>Based on the WB Country Team's request, firms belonging to the following sectors were excluded from the sample frame: ISIC rev 3.1 code 60 to 62 – Land, Water and Air transportation</i></u> <u><i>This sample frame was updated by CRRC Azerbaijan to include branches of firms with multiple workplaces.</i></u>	
b) Definition of survey units of the frame for each stage of sampling	<u><i>The survey unit is the workplace</i></u>	
c) Data items on the frame for each stage of sampling	<u><i>Firm name, address, phone number, region</i></u>	

E.g., name, address, firm size, etc.	<i>(1 of 4), size (small, medium, large), ISIC rev 3.1 code</i>	
d) Identify the variables to be used for stratification if applicable	<i>Stratification by:</i> - <i>Region: Baku & agglomeration vs. other regions</i> - <i>Size: small: 5 to 19 employees, medium 20 to 99 employees, large: over 100 employees</i>	
e) Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., number of firms by size category, number of firms by industry, etc.		
f) Quality assurance procedures I.e., assessment of quality of the frame information i. Provide any information regarding known frame issues, e.g., under-coverage of firms, up-to-date, duplication, etc... ii. Explain any steps taken to ensure that the frame is complete and up-to-date.	<i>The sample frame was updated in May-June 2013 by the WB Enterprise Survey Team and is as up to date as possible. It was updated by CRRC Azerbaijan to include information on branches. This process enabled the survey firm to review the frame and complete it when needed.</i>	

3.5. Sample Design

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>
<p>1. If the country opts for the Sample Frame provided by the STEP Household Survey</p> <ul style="list-style-type: none"> ▪ The World Bank will provide a list of sampled firms to the survey organization. The sampled firms will have been randomly chosen, with a probability proportional to the number of employees in the firm, from the list of all firms named as workplaces by individuals in the STEP Household Survey. ▪ A separate list of reserve firms will be provided along with the list of initially sampled firms. The number of reserves will amount to at least 100% of the number of firms on the original list. ▪ These lists will contain information on: <ul style="list-style-type: none"> - the name, - address or approximate location, - phone number, - size, - and activity (industry or sector) of the firm. ▪ No other list should be used to include firms in the sample. It will be the responsibility of the Survey Firm to contact the employers on the list and persuade them to provide information for the project. ▪ Prior to the fieldwork, it would be useful if the survey firm could obtain any firm registries or other comprehensive databases on firms, which are commonly compiled by National Statistical Offices and other government agencies (and which in many countries are publicly available and frequently obtainable). These may help to facilitate contacts with the firms. 			

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>								
<p>2. If the country opts for another Sample Frame <u>Preferred Sample Design</u></p> <p><u>First stage:</u> Firms will be selected with probability proportional to size from the Sample Frame. The preferred measure of size is the number of Enterprises in the following employee size categories:</p> <table border="1" data-bbox="421 619 947 754"> <thead> <tr> <th>Size Category</th> <th>Number of Employees</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>1 to 10</td> </tr> <tr> <td>2</td> <td>11 to 50</td> </tr> <tr> <td>3</td> <td>51 or more</td> </tr> </tbody> </table> <p>If a firm has only one workplace then no further sampling is required.</p> <p><u>Second stage:</u> A second stage of sampling is necessary for firms that have more than one workplace location, e.g., chain location or branch location. For such firms, one or more workplaces must be randomly selected. For each selected firm with more than one workplace, the suggested sampling approach is to select x% of the establishment workplaces, where x% is equivalent to the proportion of firms that are selected in the registry.</p> <p>For example, if a country’s sample frame includes 20,000 firms and the sample goal is 500 complete interviews then</p> <div data-bbox="192 1153 454 1230" style="border: 1px solid black; height: 48px; width: 117px;"></div> <p>In this case, for each selected firm that has more than one workplace location, 2.5% of the workplace locations would be randomly selected – one workplace location would be selected if 2.5% of the number of workplace locations is less than one.</p>	Size Category	Number of Employees	1	1 to 10	2	11 to 50	3	51 or more			
Size Category	Number of Employees										
1	1 to 10										
2	11 to 50										
3	51 or more										

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>
<p><u>Reserve Sample</u></p> <p>In addition to the initial sample, a reserve sample of at least 100% extra firms must be selected to allow for a 50% non-response rate. For example, if a country’s sample goal is 500 complete interviews then a reserve sample of 500 firms should also be selected to allow for up to 50% non-response cases. Thus the total selected sample would be 1000 firms.</p> <p>Note: <i>If a country expects less than a 50% response rate then the size of the selected sample should be adjusted to allow for the expected response rate. For example, if a country expects a 40% response rate then with a sample goal of 500 complete interviews the total selected sample including the reserve sample would be calculated as follows,</i></p> <div data-bbox="190 852 913 941" style="border: 1px solid black; height: 56px; width: 323px; margin: 10px 0;"></div> <p>In this example, the total selected sample of 1,250 includes an initial sample of 500 and a reserve sample of 750.</p> <p><i>Please describe the country’s sampling plan.</i></p>			

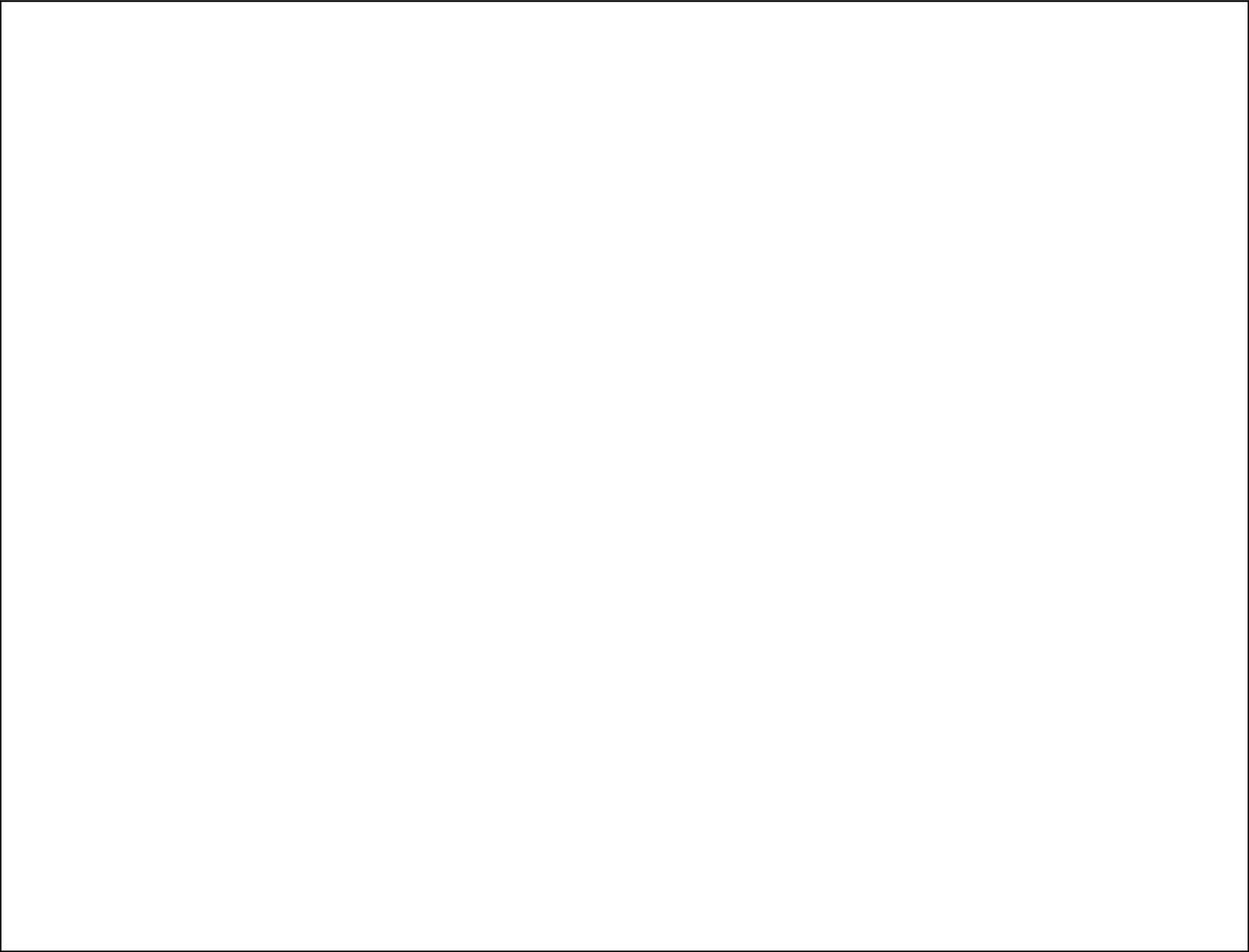
3.6. Weighting

<i>Technical Standard</i>	<i>Agreed by the Survey Firm</i>	<i>Deviation Requested from the Technical Standard</i>	<i>Approved by the Sampler? Date</i>
<p>1. Weighting Procedures</p> <ul style="list-style-type: none"> a. The weighting of each country’s clean data file will be carried out by the STEP Team. b. The weighting of the respondent records will be consistent with the <COUNTRY> probability sample design. c. Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file. d. The following weights will comprise part of each respondent record: <ul style="list-style-type: none"> - Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage; - Population weight - non-response adjusted sample design weight; - Benchmark weight (applicable if there are more recent known population totals or there are more reliable known population totals from a source other than the Sample Frame)- the weight resulting from the adjustment of the survey results to known population totals. 			

Appendix

Appendix 1. Occupation Classification

1	<u>Managers:</u>
	Chief executives, senior officials and legislators
	Traditional chiefs and heads of villages
	Managing directors, administrative and commerce managers
	Business services and administration managers such as Finance managers, Human resource managers, advertising and public relations managers
	Sales managers, production managers in agriculture, mining, construction
	Specialized services managers, such as managers in health services, hotels, retail or wholesale, sports center managers.
2	<u>Professionals</u>
	Science professionals such as physicists, astronomers, chemists, geologists, biologists, farming or fisheries advisers, environmental protection professionals
	Mathematicians, actuaries and statisticians
	Engineering professionals, in industrial, mining, construction, etc:
	Architects, planners, surveyors and designers
	Health professionals such as doctors, nurses, midwives, veterinarians, dentists, physiotherapists, dietitians
	Teaching professionals - all teachers
	Business and administration professionals, accountants, financial advisors
	Administration professionals, sales and marketing, public relations professionals:
	Information and communications technology professionals, such as software developers, programmers, web developers.
	Legal professionals such as lawyers and judges
	Librarians, archivists and curators
	Social and religious professionals such as economists, sociologists, authors, social workers, religious professionals, translators
Creative and performing artists, such as dancers, actors, radio announcers, musicians	



6	<u>Sales workers</u>
	Street and market salespersons, shopkeepers, shop supervisors, sales assistants, sales demonstrators
	Cashiers and ticket clerks
	Fashion and other models
	Door to door salespersons, contact center salespersons
	Service station attendants Food service counter attendants
7	<u>Skilled agricultural, forestry and fishery workers</u>
	Market gardeners and crop growers
	Animal and poultry producers, dairy producers, Market-oriented skilled forestry, fishery and hunting workers
	Subsistence farmers, fishers, hunters and gatherers
8	<u>Constuction, Craft and related trades workers</u>
	Building and related trades workers, such as carpenters, bricklayers, masons, plumbers, roofers, plasterers, painters
	Metal, machinery and related trades workers
	Sheet and structural metal workers, moulders and welders
	Blacksmiths, toolmakers and related trades workers
	Electrical and electronics trades workers
	Machinery mechanics and repairers
	Handicraft workers such instrument makers, potters, jewellery workers, workers in wood, basketry, textiles and leather, sign writers, decorative painters
	Printing trades workers
	Food processing, wood working, garment and other craft and related trades workers. Bakers, butchers, pastry cooks
	Tobacco preparers and tobacco products makers
Wood treaters, cabinet-makers and related trades workers	
Garment workers, tailors, dressmakers, shoemakers, upholstery workers	
Underwater divers, blasters, fumigators and other pest controllers	

9	<u>Plant and machine operators, and assemblers, Drivers</u>
	Mining, mineral and stone processing plant operators, miners
	Well drillers and borers and related workers
	Cement, stone and other mineral products machine operators
	Metal processing and finishing plant operators
	Chemical and photographic products plant and machine operators
	Rubber, plastic and paper products machine operators
	Textile, fur and leather products machine operators
	Food and related products machine operators
	Wood processing and papermaking plant operators
	Other stationary plant and machine operators
	Assemblers
	Locomotive engine drivers and related workers
	Car, van and motorcycle drivers, bus drivers, lorry drivers
	Mobile plant operators such as earthmoving operators, crane operators
Ships' deck crews and related workers	
10	<u>Elementary occupations</u>
	Domestic, hotel and office cleaners and helpers
	Vehicle, window, laundry and other hand cleaning workers
	Agricultural, forestry and fishery labourers
	Labourers in mining, construction, manufacturing and transport
	Transport and storage labourers
	Food preparation assistants
	Street and related sales and service workers
	Street vendors (excluding food)
	Refuse workers and other elementary workers
	Messengers, package deliverers and luggage porters
	Odd job persons
	Meter readers and vending-machine collectors
Water and firewood collectors	