

National Survey Design Planning Report
Skills Toward Employment and Productivity (STEP)
Full Assessment

UKRAINE

June 12, 2012



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National Project Manager
STEP Survey

INSTRUCTIONS TO COMPLETE THE NSDPR

Grey Boxes	<p>The grey boxes will be used for</p> <ul style="list-style-type: none"> (A) Background information for the section (B) Outline of the required information (C) Agreed standards as required by the Terms Of Reference (TOR) <p>NO changes required.</p> <p>Occasionally, the survey firm will be required to fill basic information (such as the name of the country) within these boxes. These situations will be signaled by being written in blue between the ‘<’ and ‘>’ characters (e.g. <Country>)</p>
Green Boxes	<p>Information that needs to be filled out by the Task Team Leader for the World Bank country team.</p> <p>The empty spaces mean that details should be provided about certain sections. The responsible person should take as much space as needed in order to provide as complete information as possible.</p>
Yellow Boxes	<p>Information that needs to be filled out by the Project Manager on behalf of the survey firm / agency.</p> <p>The empty spaces mean that details should be provided about certain sections. The firm should take as much space as needed in order to provide as complete information as possible.</p> <p>If a yellow box contains both text and empty spaces, please refer to the document ‘<i>National Survey Design Planning Report [with examples]</i>’ in order to understand what information the countries are required to add.</p> <p>The person responsible for completing the NSDPR is responsible also for reading the entire document. If it seems like information is missing from a grey box, create a yellow box below the grey box, and add the missing information in the yellow box.</p> <p>FIRMS/AGENCIES SHOULD ADJUST THESE SECTIONS BASED ON THE COUNTRY’S EXPERIENCE.</p>
Orange Boxes	<p>TASK TEAM LEADERS and PROJECT MANAGERS – Please fill in and read carefully the whole document. Being based on the TOR and technical proposals of each country, it is a binding document on implementation procedures. After ensuring that each box accurately reflects the implementation procedures, both Task Team Leaders</p>

	and Project Managers are required to sign in the appropriate boxes under each section.
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1.0 INTRODUCTION

Rationale

The introduction should inform the STEP Consortium of the history of events leading to participation in the STEP. The intention is to provide an explanation of the nature of the literacy situation in the country. An overview of the literacy concerns and STEP expectations will provide insight into the needs of the country in this regard.

Report Requirement

1. Provide a brief background of the country's involvement in the STEP survey.
 - a) Include, for example, a brief overview of the literacy situation in the country, reasons for participation, expected benefits for the country, etc...
 - b) Provide information on the country's involvement, if any, in previous adult literacy assessment surveys.

Literacy and enrollment rates remain high in Ukraine. At the same time, in international assessment of student learning in Math and Science for 4th- and 8th-graders in 2007 Ukraine scored both below TIMSS average and below the regional comparators such as Armenia, Russia, Lithuania or Kazakhstan – one of the signs of education quality deterioration. Last year Ukraine participated in TIMSS 2011 (results forthcoming) which is important for monitoring progress in terms of quality developments.

The education system needs to become more responsive to the changing labor market needs. The Government of Ukraine Economic Reform Program for 2010–2014 “Prosperous society, competitive economy, effective government” outlines problems in the education sector and its links to the labor market, including that the education is not at the necessary level of quality for modern needs, and that there is a growing imbalance between the training of specialists and actual demand for those on the labor market. Every fifth Ukrainian firms regard the skills of the workers as a major obstacle to its firm's operation and growth. While firms in the country face a shortage of skilled workers, many university graduates cannot find any employment or end up in jobs that do not use their skills. In 2009, 46000 University graduates and 27000 vocational school leavers were registered as unemployed in the Public Employment Centre.

Ukraine, as a transition economy, is still undergoing important structural economic changes. How well the labor market adjusts to these changes – and to what extent the transformation occurs in the first place – will be largely determined by the skills available in the workforce. As such, work on skill gaps, skill mismatches and their link to productivity, employment, and growth is central to the agenda of the government of Ukraine and to the policy dialogue between the government and the World Bank. As country with aging population profile Ukraine will also have to depend on both activation and enhanced skills among shrinking working age population in order to improve competitiveness and labor productivity. In this regard, understanding the extent to which there are skill mismatches in the Ukrainian labor market will be fundamental.

Ukraine's participation in the STEP skills initiative is aimed to get better information about the distribution of various skills in the labor force (both cognitive and non-cognitive) in order to support the design of skills development policies to improve employability and productivity, making the education system more responsive to the market needs. Our research strategy regarding the research on skills based on a household survey consists in adding a module on skills to a new wave of the Ukrainian Longitudinal Monitoring Survey (ULMS) which is a household based panel survey sampling the Ukrainian working age population (between 15 and 72 years of age) and being nationally representative. Thus far, three waves of data have been collected in 2003, 2004 and 2007 under the organizational leadership of the Institute for the Study of Labor (IZA) at Bonn with the Kiev International Institute of Sociology (KIIS). IZA will use the data for its work program, ECSHD for its regional work, and HDNSP for its global work.

2.0 PROJECT TEAM

STEP Standard

Each participating country will describe the qualifications and experience of the leading survey institute/project team responsible for the design and implementation of the STEP survey.

Rationale

The quality of the STEP survey depends on the practical abilities and experience of the survey institute responsible for the design and implementation of the survey. In order to ensure the survey quality, the leading institute must have expertise and qualifications specific to the design and implementation of large-scale international surveys. Also, in many participating countries there may not be a single institute that has all the qualifications needed to undertake the STEP survey on its own. Consequently, there may be a need for collaboration between different institutes and, at least the leading survey institute must have qualifications in collaborating with other national and international institutes so that expertise in the relevant STEP areas is available.

In general, each STEP national team should be made up of experienced, knowledgeable personnel with expertise in one of the following survey areas: survey management, probability sample design, data collection including interviewer training and non-response reduction, data processing including data capture, coding, and editing, survey weighting and estimation, or data analysis. Furthermore, expertise in coding levels of education and industry and occupation data to international standards is required. In addition, during the development phase of the project a language specialist is needed to provide expertise in the translation and adaptation of the survey instruments.

2.1 Qualifications and Expertise of the Survey Institute.

Report Requirement

1. Identify the leading survey institute.

Kiev International Institute of Sociology (KIIS) will function as leading survey institute in STEP Ukraine project. KIIS is one of the leading research companies in Ukraine offering its clients a full spectrum of research solutions. KIIS' mission is providing the high quality information to the society about its political, social, and socio-economic state and about opinions of various social groups and categories of the population on this state.

KIIS is a private Ukrainian company which works in collaboration with the National University of "Kiev-Mohyla Academy". KIIS was founded in 1990 as a research center of Sociological Association of Ukraine and transformed into private enterprise in 1992. We were a pioneer in the establishment of sociological research standards in Ukraine. Our innovations in Ukrainian sociological research are: the first manual for interviewers and interviewer's training in 1992; the first face-to-face interviews and focus-groups in 1992; the first national software for statistical data analysis in 1990; the first software for sample design in 1993.

KIIS has membership of major research associations, among others, the Sociological Association of Ukraine, European Society for Opinion and Marketing Research (ESOMAR), AAPOR and WAPOR. Professor Volodymyr Paniotto, the Director General of KIIS, was the first national representative of ESOMAR in Ukraine in 1996–2005.

KIIS is specialized in providing a full scope of services in such directions as:

- Socioeconomic Research,
- Political Research,
- Health Care Research,
- Marketing Research, Consulting, and Research audit.

For our clients we offer the following types of research:

- Ad hoc surveys (face-to-face interviews, surveys with self-administered questionnaires, CATI, CAPI, internet & mail surveys);
- Ukrainian omnibus (2000 face-to-face interviews);
- Online panel — InPoll project (<http://inpoll.net/>);
- Business-to-Business surveys, expert and elite polls;
- Retail audit, price and distribution checks;
- Usage and attitude surveys, brand image, concept, and product tests;
- Qualitative research (focus-groups, in-depth interviews, ethnography studies, case studies, desk research).

KIIS applies contemporary methods of data processing and analysis, in particular, apart from standard software for research data analysis (SPSS, OCA), a special software for sample design, design effect estimation, linear structural equations (LISREL), and computer modelling of social processes is applied.

Authors of handbooks on data collection methods and statistical data analysis methods with experience of work in USA universities work in KIIS.

KIIS has extensive experience in conducting qualitative and quantitative research, and also complex quantitative-qualitative projects: we annually implement 100–150 projects for commercial clients as well as our own scientific research. The most demanded types of research we apply are: face-to-face interviews, phone, mail, and internet surveys, expert and elite polls, focus-groups, in-depth interviews, desk research.

KIIS consists of a small permanent scientific and administrative staff, as well as temporary research groups, formed whenever there is a need. The staff consists of 37 full-time and about 600 part-time employees (CATI interviewers, focus group moderators, regional supervisors, and interviewers).

Examples of major surveys conducted by KIIS:

1) *Incomes and Expenditures of Households in Ukraine* (1995, 1996). This two-wave panel study was requested by the World Bank. The aim of the study was to gain information on the well-being level of the household in Ukraine, in particular that concerns the sources and the amount of the monetary and natural incomes, the ranges of the poverty spreading, and the characteristics of the most vulnerable groups of the population as well as what concerns the

main strategies of surviving (including information about employment). Quantitative survey by face-to-face method. National sample was representative for Ukraine on the whole and for the large regions in Ukraine. The sampling was random, it included surveying in all regions of Ukraine (as well as in the Autonomous Republic of the Crimea). The final set comprised 2,024 questionnaires of households and 4,567 personal questionnaires in 2005 and 2,322 household questionnaires and 5,403 individual questionnaires in 2006.

2) *Ukraine Reproductive Health Survey* (1999). Survey was carried out by request of the Centers for Disease Control and Prevention (CDC) and University of Johns Hopkins (USA) under financial support of USAID. Survey objective was to study the status of reproductive health of women in Ukraine, history of their pregnancies, abortion prevalence, usage of contraception, infertility, domestic violence, etc. Survey method – quantitative face-to-face standardized interview. National sample was representative for both Ukraine as a whole and its separate regions. Those women were questioned that were from 15 to 44 at the moment of interview. Total 7,129 women of reproductive health have been questioned. The specifics of the sample were two sites of oversampling – Odesa (2,000) and Donetsk (1,000) cities. Available information: analytical report “1999 Ukraine Reproductive Health Survey” (Rus., Eng.), 2001 (http://pdf.usaid.gov/pdf_docs/PNACN136.pdf).

3) *Ukraine Mental Health Study* (2002). This survey was carried out by the request of the Department of Epidemiology of the State University of New-York (SUNY, Stony Brook) under sponsorship of the National Institute of Mental Health (NIMH, USA) within World Mental Health Survey Initiative (<http://www.hcp.med.harvard.edu/wmh/>). All participating countries (about 30) had to follow unified survey methodology. The survey was carried out in collaboration with Ukrainian Psychiatric Association (a subsample of survey respondents has been examined by their psychiatrists).

Survey objectives were: to investigate the prevalence of substance abuse and mental illness in Ukraine; to examine the demographic correlates of substance abuse and mental illness in Ukraine; to determine the extent to which substance abuse and mental disorders are associated with role impairment and disability and are brought to the attention of and managed by the medical community; to describe the prevalence of stress conditions in the population, including rape, domestic violence, unemployment and under-employment, economic hardship associated with the break-up of the former Soviet Union, inter-generational stress, harassment and brutality, and Chornobyl-induced fears; and to examine the association of stress to substance abuse and mental illness and to identify demographic and social modifiers of these relationships.

The survey was conducted by face-to-face method with Composite International Diagnostic Interview (CIDI), version 2.1 as a survey instrument, which was translated and adopted by KIIS. It included the following diagnostic sections: Depression; Panic disorders; Social phobia; Agoraphobia; Generalized anxiety disorder; Neurasthenia; Intermittent explosive disorder; Suicide; and Substance use. National sample was representative for both Ukraine as a whole and its separate regions. Total 4,725 respondents of age 18 and older have been questioned. The results of the survey are available in some publications.

4) *The Ukrainian Longitudinal Monitoring Survey (ULMS)* (2003, 2004, and 2007). The study was carried out by the request of the consortium consisting of Institute for the Study of Labor

(IZA, consortium leader), Centre for Economic Reform and Transformation (CERT), Economics Education and Research Consortium (EERC)-Ukraine, Leuven Institute for Transition Economics (LICOS), Rheinland-Westfälisches Institut für Wirtschaftsforschung (RWI) – Essen, and the William Davidson Institute (WDI).

The study objective is to obtain detailed information about employment, reasons of unemployment, strategies of job search, education, migration, and health of the adult active population of Ukraine. The population of the survey is the working-age population that is 15 to 72, inclusive. Survey sample is representative for that category population of Ukraine. Apart from the individual information, the survey collects information about the income level of the households in Ukraine, specifically about the sources and size of monetary and in-kind earnings, structure of expenditures, and consumption of Ukrainian families.

The baseline survey ULMS was held in spring-summer of 2003. Sample size for individual survey constituted 8500. Sample size for household survey made up 4100. The follow up survey by the similar methodology was held in May-October, 2004. The final dataset included 3449 questionnaires of households and 7200 questionnaires of individuals. The third wave of the survey was conducted in May – December, 2007. This final dataset included 3101 questionnaires of households and 6774 questionnaires of individuals.

Some publications based on the results of ULMS may be found at <http://www.iza.org>.

5) *The Long Term Mental Health Consequences of Chernobyl* (2005). Survey was carried out by the request of the Department of Epidemiology of the State University of New-York (SUNY, Stony Brook) under financial support of the National Institute of Mental Health (NIMH, USA). Survey objective was to further understanding of the well being of people in Ukraine and the effects of Chernobyl and other types of stress on health and quality of life with the means of follow-up interview (this was a 2/3 panel study with baseline been conducted in 1997). Young people born in 1985-1986 and their mothers have been interviewed using CAPI (Computer Assisted Personal Interview) methodology. *Besides, young people have been requested to complete a series of neuropsychological tests, which have been scored by KIIS' scorers afterwards.* The sample represented three groups of respondents: 1) one third of the respondents have been evacuated to Kyiv after Chernobyl accident; 2) the second 1/3 of the respondents were the pair-matched classmates of evacuees; 3) the final 1/3 of the respondents was random sample of Kyiv inhabitants of respective age. Total, 853 young people and 798 mothers have been interviewed. Some publications based on the study results are available.

6) *Transition from Education to Work* (2007). This was a twofold survey: the first survey was initiated by the European Training Foundation (ETF) in spring 2007, and the second wave was initiated by the World Bank a few months later. The main objective of the surveys was to collect information on transition from education to work among school-leavers in Ukraine and to develop a database that can be used to analyze the linkage between education and work in the country. The population to which the survey sample was representative was young people 15-34 years old who left school up to 6 years ago. The survey focused on such issues as educational attainment, time between finishing education and first job, means of getting a job, relevance of educational background to job, stableness of job, career path, current employment status, current income level, labor migration (both internal and external), etc. In addition, the World Bank's parts of the study separately focused more on quality of education and how it

meets requirements of respondents' job.

Sample size was about 2,000 in each of the surveys plus additional interviews in three major cities (Kyiv, the capital, and the cities of Lviv and Kharkiv, contrasting West and East) in order to get 400 interviews per city in World Bank's survey. Interviewing was face-to-face.

7) *Corruption in Ukraine* (2007, 2009, 2011). During 2007-2009, KIIS was one of the partners of the Promoting Active Citizen Engagement in Combating Corruption in Ukraine (ACTION) project implemented for the Millennium Challenge Corporation (MCC) Threshold Country Program for Ukraine under financial support of USAID. In the frameworks of the project KIIS has conducted a series of large-scale surveys, particularly:

a. Three nationwide household surveys. The studies objective was to trace dynamics of the attitudes of the adult population in Ukraine towards the problem of corruption; citizen experiences with corruption; citizen assessments of the effectiveness of anticorruption measures taken by authorities and other anticorruption actors; and the public's willingness to engage in anticorruption activities. The baseline survey was conducted in February – March, 2007 (n=10,580); mid-term survey was conducted in March – April, 2008 (n=2,013), and final survey was conducted in February – March, 2009 (n=10,577). Survey sample was representative for adult population (18+) of Ukraine as a whole, and the sample of baseline and final surveys were also representative for each of 26 administrative units of Ukraine (including AR Crimea and Kyiv city). Comparative reports are available in Ukrainian and English.

In 2011, under support of Uniter project (<http://uniter.org.ua/>) funded by USAID, KIIS has implemented identical survey in order to monitor changes since 2009. Over 10,500 respondents have been interviewed in all regions of Ukraine. Final report is available at http://eura.org.ua/wp-content/uploads/2010/01/Corruption-in-Ukraine_2007-2009_2011_Engl.pdf

b. Complex estimate of corruption during admission to Ukrainian universities and other institutions of higher education. The aims of the study were: to evaluate corruption perception and experience in high schools and universities from all potential entrants and stakeholders including those who has not entered or was de-motivated at the admission because of the high risks of corruption discrimination. According to the purposes of the survey, the following key survey participants have been defined: high school graduates, high school graduates' parents, school administration and teachers, current university students, university faculty and administrators, and top public ministerial officials and experts. Three waves of study have been implemented. Both quantitative and qualitative components have been applied. Comparative reports are available in Ukrainian and English.

8) *Global Adult Tobacco Survey (GATS) in Ukraine* (2010). The study has been performed on the request of CDC, sponsored by Bloomberg Philanthropic Foundation, and supported by WHO. Unified methodology was followed in all participating countries (about 15). It was also a part of Ukraine's Government anti-tobacco program. The objectives of the study were: to estimate the prevalence of different forms of tobacco use, smoking and other tobacco products including water pipe with special consideration to urban versus rural as well as gender differences in Ukraine; tracking exposure to secondhand smoking, cessation, risk perceptions,

knowledge and attitudes, exposure to media, price and taxation issues at the national level, for urban and rural areas of Ukraine and for gender; to get nationally representative data on adult tobacco use and key tobacco control measures in Ukraine that can be compared across countries; tracking and advancement of the WHO Framework Convention for Tobacco Control (WHO FCTC) in Ukraine.

The study was conducted using CAPI (Computer-Assisted Personal Interview) methodology. Total, 8,173 individual respondents aged from 15 and older have been interviewed (equally in urban and rural area as well as male and female respondents). Household response rate was 80.1%; the person response rate was 95.1%, and the overall response rate was 76.2%.

Survey results have been widely disseminated in September, 2010. Analytical report on survey results is available at

http://www.who.int/tobacco/surveillance/en/tfi_gats_ukraine_report_2010.pdf

2. Provide an overview of the qualifications and expertise of the key project team members.
 - a) Indicate whether or not the key team members will work full-time on STEP.
 - b) Include names and types of surveys conducted.
 - c) Indicate the size(s) of survey(s) (i.e., sample size) undertaken.

A project team has been established to carry out the STEP in Ukraine. This section identifies the project team members, outlines their qualifications and experience, and summarizes the responsibilities of each team member. Senior Survey Methodologist will work part-time on the project; National Project Manager will work full-time during the whole project; and other key staff will work on full-time basis during the period of implementation of respective survey stages.

1. National Project Manager

Ms. Victoria Zakhosha has been appointed as the National Project Manager. In 2000, Ms. Zakhosha graduated from The National University of Kyiv-Mohyla Academy with Master degree in Sociology. In addition, in 1998 she received Bachelor degree in Economics (minor: Sociology) at the same University. She is currently the Deputy Director of KIIS. She is responsible for functioning of the Survey department of KIIS. She manages a staff of twelve employees. She has also successfully managed and directed a variety of national and international surveys including for example the Ukraine Reproductive Health Survey (1999, n=7,129), World Mental Health Survey in Ukraine (2002, n=4,725), The Long Term Mental Health Consequences of Chernobyl (2005, included testing and scoring), Corruption in Ukraine (2007, 2009, and 2011, n=10,400 (in each wave of the survey)), Global Adult Tobacco Survey in Ukraine (2010, n=8,173) and many other.

Supporting Ms. Zakhosha is an experienced group of individuals having expertise in survey management, probability sample design, data collection (including interviewer training and non-response reduction), data processing (including data capture, coding, and editing), survey weighting and estimation, and data analysis. The team will consist of Mr. Volodymyr Paniotto, Senior Survey Methodologist, Ms. Natalya Kharchenko, ULMS Project Manager, Ms.

Oleksandra Shyroкова, Data Collection Manager, and Mr. Andriy Androsiuk, Data Processing Manager. These individuals have worked directly with previous national and international large-scale surveys as well as with the design and development of both paper-and-pencil and computer-assisted surveys. While each individual is assigned an area of primary responsibility, they will work so that each has a complete understanding of the overall project objectives and requirements. Within these areas of primary responsibility an individual will be required to monitor and oversee progress on all relevant tasks, and to report regularly to Ms. Zakhozha.

In addition, Ms. Maryna Sydorenko, Language Specialist, has been engaged to be responsible for the translation and adaptation of all STEP materials such as the Background Questionnaire, the Assessment Items, Interviewer Manuals, etc.

2. Senior Survey Methodologist

Mr. Volodymyr Paniotto, Senior Survey Methodologist, is a Director General of KIIS. He defended his candidate degree in 1973 and doctoral degree in Sociology in 1986 at the Institute of Philosophy of the National Academy of Sciences. He also graduated from the Kiev State University in 1970 (Major: Mathematics; minor: mathematical methods in sociology). Mr. Paniotto has over forty years experience in the design and implementation of surveys, including such activities as sample design, questionnaire design, interviewer hiring and training, data processing, weighting, estimation, and analysis of survey results. He also has extensive experience in the development and delivery of training programs pertaining to survey design and implementation, and data processing. He is an author of the series of textbooks in survey methodology; he lectures at the major Ukrainian universities since 1991.

Mr. Paniotto is the methodology representative on the survey team. He is responsible for all aspects of the survey design, weighting, and estimation. In addition, he provides advice to the other team members regarding the methodological considerations for the data collection and data processing.

3. Data Collection Manager

Ms. Oleksandra Shyroкова is a data collection manager with KIIS. She graduated in 1997 from the Odesa State University as sociologist. In addition, she received special training in the field of psychology and psychotherapy (3 years at the department of psychiatry of the National medical university; special training in psychotherapy; experience of psychotherapeutic consultancy; participation in and conducting seminars and trainings. At KIIS, Oleksandra has significant experience of fieldwork management in complex studies including specific target groups (e.g. “Panel study of long-term consequences of Chornobyl disaster for mental health of young people” (2006); “Global adult tobacco survey” (2010); “Evaluation of the project “HIV/AIDS prevention among female sex workers in Ukraine” (2011) etc.) where she was responsible for the implementation of the survey in all regions of the country. This included responsibility for the hiring, training and supervision of Interviewers and Interviewer Supervisors, preparation of the data collection schedule, monitoring data collection progress and costs, etc.

4. Data Processing Manager

Mr. Andriy Androsiuk is a Data Processing Manager with KIIS since 2008. Mr. Androsiuk has frequently participated in project teams involved in survey design and implementation. He has experience in survey planning; design and development of survey questionnaires for both PAPI and CAPI; preparation of interviewer manuals, training guides, procedures and information manuals; data entry, data editing, and data consistency checking. He has also acquired knowledge in working with various data collection methods, survey methodologies, and data processing systems. Mr. Androsiuk has graduated from the Ukraine National Polytechnic University in 2005 with degree in publishing and printing.

5. Language Specialist

Ms. Maryna Sydorenko has an MA in Languages with specialization in Translation and Interpretation. She is a professional Translator/Interpreter and lectures at the Taras Shevchenko National University of Ukraine. She is fluent in English, Ukrainian, and Russian. She has ten years experience in translating documents for international corporations and governments.

3. Explain any expected deviations from the STEP Technical Standards.

I agree with the above,

JOHANNES KOETTL

Signature:

VICTORIA ZAKHOZHA

Signature:

2.2 Project Structure

Report Requirement

1. Identify the sponsoring organization

The Institute for the Study of Labor (IZA) based in Germany is co-sponsoring organization and will be a contracted implementing agency for the STEP Skills Measurement Survey in Ukraine. This institution supervised previous rounds of the panel household survey (the Ukrainian Longitudinal Monitoring Survey - ULMS 2003, 2004 and 2007) with which the skills module will be combined to form the final STEP instrument.

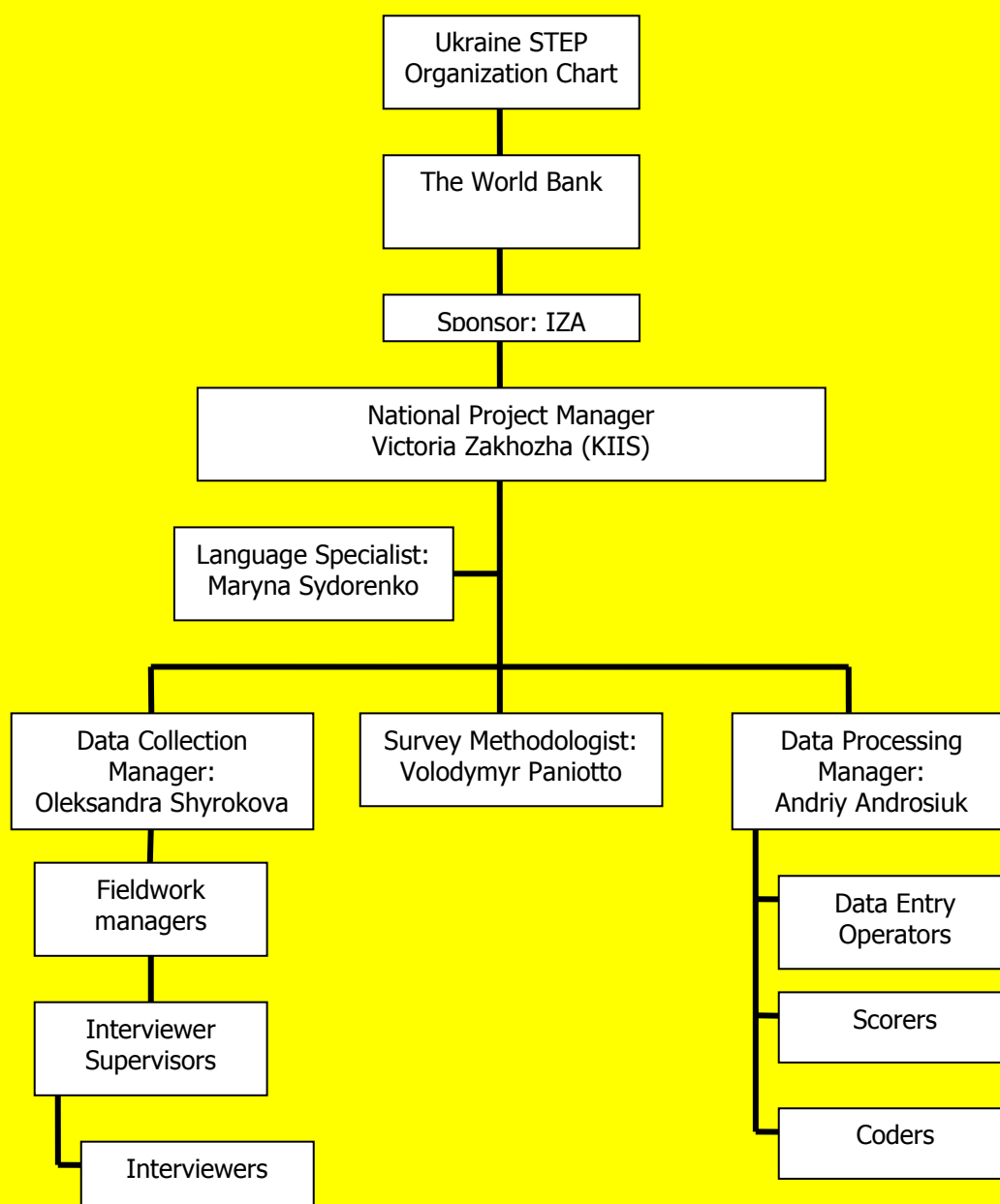
2. Provide an overview of the management reporting structure. (Include the project organization chart)

The STEP will be carried out by the project team headed by Ms. Victoria Zakhozha who will report to Hartmut Lehmann, Program Director of the IZA research area "Labor Markets in

Emerging and Transition Countries", Johannes Koettl, Economist (and TTL), World Bank, Anna Olefir, Economist, the World Bank country office in Ukraine. Ms. Zakhosha will also attend steering committee meetings to brief the committee on the STEP progress.

The organization chart for STEP is as follows:

Figure 1: Ukraine STEP Project Organization Chart



Ms. Victoria Zakhosha, the National Project Manager, will have responsibility for:

- overall direction and management of the project,
- liaising with the members of the STEP Consortium,
- the development and validation of all instrumentation for STEP;

- developing the project plan,
- ensuring that the project requirements are delivered on time and within budget

Mr. Volodymyr Paniotto, the STEP methodologist, will be responsible for

- survey design and implementation,
- weighting and estimation,
- regular data analysis.

Ms. Oleksandra Shyroкова, the STEP Data Collection Manager, will have responsibility for:

- hiring, training, monitoring and control of data collection staff, such as interviewers and interviewer-supervisors,
- development of interviewer materials
- development and implementation of data collection procedures
- control of both item non-response and complete non-response

Mr. Andriy Androsiuk, the STEP Data Processing Manager, is responsible for:

- data capture,
- coding,
- editing,
- file creation
- tabulation of survey results

Ms. Maryna Sydorenko, the STEP Language Specialist, will be responsible for:

- translation and adaptation of STEP assessment items.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

3.0 SURVEY OBJECTIVES

STEP Standard

The STEP research program has two international objectives:

- 1. Develop and apply harmonized survey instruments to: (i) assess the distribution of literacy, non-cognitive, and technical skills in the labor force of middle-and low-income countries and the demand for these skills by employers, (ii) assess the impact of different types of skills on labor market outcomes, and (iii) analyze the extent to which there are skills mismatches in participating countries; and*
- 2. Support country research teams to adapt and implement the surveys in several countries, analyze the results, and identify policy interventions that may be useful to step up the supply of skills sets needed to improve employability and productivity. The application of harmonized surveys in a broad range of country contexts will provide an opportunity to validate findings across countries and distill lessons that may be applicable beyond the countries under review.*

Each participating country will design and implement its STEP survey to support the above international objectives. In addition, if applicable, each participating country will specify any country-specific objectives that differ from the international objectives.

Rationale

A description of the main objectives of the study is required to assure uniformity and consistency in the design and analysis of the STEP across participating countries. It is important that the participating countries share a common set of assessment objectives to facilitate comparisons of the results between countries.

In addition to the main survey objectives, each participating country may define country-specific analytic requirements for the STEP. In this case, the country must ensure that adequate sample sizes will be obtained to allow analyses with acceptable precision to meet these needs. For example, countries may wish to produce survey estimates for special subgroups of the population, in which case additional sample may be required to yield survey estimates with a desired precision.

3.1 Major analytic objectives

Report Requirement

1. Include a list of the STEP international objectives.

Skills are at the core of improving employment outcomes and increasing productivity and growth. Across countries, unemployment and low productivity employment can often be the result of workers not having the right skills to match the requirements in available job openings or having limited opportunities to access high quality pre-employment or skills upgrading training programs. In many countries education and training systems often lack quality and labor market relevance, leaving workers ill-prepared for the labor market.

Against this background, the World Bank launched a multi-country research program that

finances country-level studies to determine how different skill sets affect individuals' labor market opportunities. The studies are expected to fill critical knowledge gaps on the role and demand for different types of skills sets in the labor market and assist in the design of tailored education and training policies to boost employability and productivity.

The research program has the following two objectives:

1. Develop and apply harmonized survey instruments to: (i) assess the distribution of literacy, non-cognitive, and technical skills in the labor force of middle-and low-income countries and the demand for these skills by employers, (ii) assess the impact of different types of skills on labor market outcomes, and (iii) analyze the extent to which there are skills mismatches in participating countries; and
2. Support country research teams to adapt and implement the surveys in several countries, analyze the results, and identify policy interventions that may be useful to step up the supply of skills sets needed to improve employability and productivity. The application of harmonized surveys in a broad range of country contexts will provide an opportunity to validate findings across countries and distill lessons that may be applicable beyond the countries under review.

3.2 Country-specific objectives

Report Requirement

1. Provide a list of the 'country-specific' objectives
2. Provide any relevant background and supporting rationale for the 'country-specific' objectives

Specific objectives for the STEP survey in Ukraine encompass:

- identification of the current levels of cognitive and non-cognitive skills and the extent of skills mismatches/gaps in the country;
- providing more information to shed the light on the skills puzzle - why the wage structure does not adjust to equilibrate the supply of labor in different occupations with the demand (Returns to high skills, especially white collar skills, are still relatively low in Ukraine (Patrinos 2008));
- policy advice on making education system more relevant to the needs of labor market (taking into account the problems of high unemployment among youth, and that a large number of tertiary education graduates being unable to find the first job upon graduation);
- identification of other interventions that can be considered to step up the supply of skills to improve employability and productivity (as mentioned above, Ukraine as country with aging population profile will have to depend on both activation and enhanced skills among shrinking working age population in order to improve competitiveness and labor productivity).

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

4.0 SAMPLE DESIGN FACTORS

4.1 Target Population

STEP Standard

The STEP target population is defined as all non-institutionalized persons 15 to 64 years of age (inclusive) living in private dwellings in the urban areas of the country at the time of data collection. This includes all residents except foreign diplomats and non-nationals working for international organizations.

There may be exclusions from the target population for practical operational reasons but such exclusions should not exceed 5% of the country's urban population aged 15 to 64 years of age.

A country may include other subpopulations in its target population provided that its sample design includes any necessary augmentation of the sample size to accommodate the analysis requirements for these additional subpopulations.

Operational Definitions

- *A Private Dwelling Unit is defined as a room or a group of rooms used, or intended to be used, for living purposes. A dwelling unit must be capable of permanent human habitation and must have a private entrance either outside or from a common hall, lobby, vestibule or stairway inside the building. A private entrance is one that can be used without passing through the living quarters of someone else.*
- *A Household Member is a person who*
 - 1) *considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;*
 - 2) *makes some common provision for food and other essentials of living;*
 - 3) *spent most of their daily rest at the dwelling for at least nine (9) of the past twelve (12) months; the exception to this rule are persons who have recently joined the household, have no usual residence elsewhere, and intend to spend most of their daily rest at the dwelling.*

Rationale

A clear definition of the target population identifies the population of interest for the STEP. This definition is necessary in order to assure that adequate steps are taken to correctly cover the population of interest in the sampling process, and to assure that appropriate and accurate statistical inferences are made using the survey data. Limited exclusions from the target population are not unusual, but should be specified to assure that the survey population is clearly defined and to assure that no extensive biases are introduced due to the coverage of the target population. In essence, the definition of the target population specifies the population from which the sample is to be selected and, consequently, the population to which the sample results may be generalized.

Report Requirement

1. Definition of the target population.

- a) Specify any exclusion from the STEP target population.
- b) Include the definitions of concepts related to the survey unit, e.g., dwelling, household, usual place of residence.

The following are considered “institutionalized” and therefore excluded from the STEP survey:

- Residents of Institutions (prisons, hospitals, etc.)
- Residents of Senior Homes and Hospices
- Residents of other group dwellings such as college dormitories, halfway homes, workers’ quarters, etc.

Other exclusions from the target population that are acceptable are:

- 1) Persons living outside the country at the time of data collection, e.g., students at foreign universities.
- 2) Members of the population who are unable to complete the STEP assessment due to a physical or mental condition, e.g., visual impairment or paralysis.

Country’s Target Population Description

The STEP target population comprises all non-institutionalized persons 15 to 64 years of age (inclusive) living in private dwellings in the urban areas of the country at the time of data collection.

We will use STEP standard definitions of ‘private dwelling’ and ‘household member’, which is a satisfactory operational definition for Ukraine.

The sampling will not include individuals permanently institutionalized in medical facilities, military quarters, and prisons (it's about 725000 persons, about 2% of population). We will also exclude from our sample 30-km zone around Chernobyl Nuclear Power Plant (this is an area with high level of radiation contamination; public access to this area is restricted and all population was evacuated).

There is an only official language in Ukraine – Ukrainian, however, about half of population consider themselves as Ukrainian-speaking (mostly Western and Central regions), and another half – as Russian-speaking (mostly Eastern and Southern regions). Although languages are very close, and almost all people well understand both languages, it is rather political issue. KIIS conducts all its nationwide surveys in two languages – up to respondent’s choice. In Ukraine STEP survey, household and individual questionnaires will be prepared in both languages; however, literacy assessment will be done in Ukrainian only (due to budget constraints).

2. Specify any special additions to the target population.

- a) Include the relevant background and rationale for additions.

Special feature of STEP Ukraine survey is that it will be joined to ULMS-2012 panel study. The ULMS is a household based panel survey sampling the Ukrainian working age population (between 15 and 72 years of age; both urban and rural) and being nationally representative. Thus additional information will be available on 65-72 years old and rural population, though the STEP instrument and the literacy assessment will be administered only to persons of 15 to 64 years of age (inclusive) living in urban areas of the country at the time of data collection.

3. Provide counts (or estimated counts) of the target population by sample design variables, e.g, by strata, by PSU.

The most recent nationwide population Census was conducted in 2001 in Ukraine. Therefore we present here estimated demographic counts of the State Statistics Service of Ukraine for 2011 by strata.

<i>Strata (urban part of each administrative unit)</i>	<i>Counts (number of population 15-64)</i>
Crimea	1129651
Kyiv (city)	2060273
Kyivska	767588
Vinnyska	588775
Volynska	384445
Dnipropetrovska	1989900
Donetska	2846737
Zhytomyrska	531907
Zakarpatska	328509
Zaporizka	999478
Ivano-Frankivska	430654
Kirovogradska	443460
Luhanska	1432774
Lvivska	1105006
Mykolayivska	580115
Odeska	1144495
Poltavska	651620
Rivnenska	403571
Sumska	574792
Ternopilska	346697
Kharkivska	1617580
Khersonska	474975
Khmelnitska	534806
Cherkaska	523252
Chernivetska	278326
Chernihivska	499920
Total	22669306

On the next stage, urban voting precincts will be used as PSUs, and the only available

information on their size is the number of registered voters (i.e. population 18+). The sample frame for selecting PSUs will be 300 urban VPs enumerated in 2009 (due to the requirement to use the list of households for their selection and taking into account absence of official listings for Ukraine, we suggest sampling voting precincts from representative sample of urban voting precincts enumerated by KIIS in 2009 for another survey). The table below shows the number of population 18+ for each potential PSU.

VP ID	Number of voters	VP ID	Number of voters	VP ID	Number of voters
225105	1853	9054	2385	47023	2335
2090	1630	9085	1905	48029	1519
6019	2771	9150	2452	45029	1952
7054	2004	9132	1732	45008	1507
5052	2216	10023	977	42045	2090
225152	2508	23063	2812	43061	2241
5063	1673	23081	1690	46090	1613
3002	1681	23005	3044	44111	2791
4027	2350	23011	2652	51016	2404
6012	1931	24019	1720	45086	2308
5047	1949	35029	2648	46005	2155
1023	1422	27142	1555	53028	1964
2001	1713	27094	2145	40116	2344
3017	1528	30090	2431	44067	1713
3005	2050	33135	1855	46003	2414
222050	2666	29001	2384	53044	2148
223080	1413	32111	2054	43015	2067
221100	1983	31052	1983	48001	1437
224081	2775	29134	1853	41088	1875
220069	1812	29088	2623	39112	2304
223014	2300	29078	1433	41067	2455
221057	1561	34076	1741	43149	1845
220036	2299	30107	2290	53107	1851
219145	2586	29102	1955	48065	1555
220102	2878	27031	2478	42035	2042
219170	2608	36084	2154	51143	2389
220091	2558	30069	2680	65054	1738
220040	2435	28052	2069	56082	1528
219124	1402	27040	2286	60004	1902
222144	2311	36076	2293	59146	2336
219161	2587	29018	2058	65015	1297
224034	2373	27093	2169	65004	2271
222103	2688	34026	1495	56085	2121
222116	2347	27089	2335	68015	2070
222036	2607	30096	2582	69002	2555
222026	2653	32061	914	70086	1464
219059	2127	28044	2234	66012	2579
220062	2254	48003	1947	73044	2233
220097	2456	39127	2260	71131	2290
220065	2440	46073	1810	71051	2189

92018	2745	41072	2585	71135	2292
91128	1658	42058	1166	74047	1289
93023	2304	45014	2233	73088	2445
86009	2208	53115	1674	75002	1678
86063	2197	47061	1485	71115	2196
94146	1713	40015	2543	76018	1812
92017	2289	47028	2003	71121	2371
89002	1786	48070	1998	74090	1272
94019	2500	44065	1978	74041	967
89142	2177	44074	1289	72124	2254
17071	712	40029	1882	76104	2626
9074	1786	47050	1272	79027	2387
84030	1067	133099	2135	175067	2602
79063	1518	135073	1720	182042	2057
84023	1769	133097	2617	174087	2165
79001	2316	139011	2321	175095	1631
99005	1673	133034	2119	176076	2704
95097	1812	132031	2436	180061	1824
97002	1557	137053	2531	174098	2225
95090	2629	133052	3002	179145	1496
100003	1205	137051	1811	184010	2476
95010	2344	136078	1034	188042	1003
103025	2402	132147	3350	185003	1665
102003	1896	132017	2034	185122	1532
106020	1729	135111	1927	184105	2793
108122	2119	133164	2178	184005	1279
108110	1414	142083	2024	198026	2020
104039	2296	144026	2531	194032	2450
104054	2220	143029	1546	194001	2556
105124	1022	142103	2333	194084	1334
104006	2558	142092	2352	194043	1617
103086	2353	142034	1067	191084	1883
104053	2835	147104	1115	192018	2389
102032	2557	144047	2482	203023	1720
106013	1835	143004	2082	204002	2102
103030	2074	151087	1796	202121	1429
108038	1983	153059	1708	203048	1559
103076	2158	157086	1188	205026	1590
111034	1045	151095	2584	199071	2226
109116	2277	151007	3091	205028	1820
103080	2174	159006	1949	207041	1438
109118	2525	158075	2548	207022	2728
112005	1867	163008	2309	210123	2337
125002	1792	161023	2235	214030	1637
113007	1544	163103	2345	211030	2614
113139	2850	162008	1392	211033	2317
113067	2362	163098	2556	211034	2075
113096	2245	158086	2711	213003	1799

122080	1712	165042	2033	211082	1019
122107	1348	171136	1767	216001	1378
125010	1743	165062	1372		
122126	1770	172099	1936		
124029	2002	181040	1662		
113082	2617	177015	1389		
112080	3197	173043	1804		
113054	2051	175146	2242		
126190	1726	176104	1456		
126029	2263	181097	1670		
126125	2014	173126	2144		
131086	2407	173030	2208		
131012	1771	174103	2360		
126177	1837	175076	2680		
126152	2324	174069	2026		
126175	2467	173009	2763		
132054	2390	175170	2041		

4. Explain any expected deviations from the STEP Technical Standards.

4.2 Method of Data Collection

STEP Standard

STEP is a household survey in which the key goal is to conduct an in-depth interview and literacy assessment with one person per selected household. Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method.

All components of the literacy assessment must be administered in the same visit (i.e., General Booklet and applicable Exercise Booklet).

Rationale

The data collection method must be the same for all participants in order to avoid any potential bias that might be introduced, e.g., the data collection method might affect the quality of respondents' answers.

Report Requirement

1. State the method of collection to be used for each survey component, i.e., Filter Module, Household Questionnaire, and Literacy Assessment.
2. Explain any expected deviations from the STEP Technical Standards.

STEP is a household survey in which the key goal is to conduct an in-depth interview and literacy assessment with one person per selected household. Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI)

method.

All components of the literacy assessment will be administered in the same visit (i.e., General Booklet and applicable Exercise Booklet).

4.3 Response Rate

STEP Standard

A minimum response rate of 70% is the goal.

The method for calculating the STEP response rate will be consistent across participating countries. The overall survey response rate is defined as “the result of dividing the total number of complete interviews by the total number of ‘unduplicated, in-scope’ sampled individuals”.

Rationale

The first sampling priority is to obtain the prescribed minimum number of STEP interviews per STEP reporting language. Secondly, an overall response rate of 70% must be achieved. Generally, in surveys that employ a personal-interview data collection method, one might expect to achieve a response rate in excess of 80%. However, it is realized that the response rate for STEP may indeed be lower than other surveys due to the fairly lengthy interview and psychometric assessment that some respondents may find intimidating. Nevertheless, in previous international surveys with a literacy assessment component, a low response rate was identified as a data quality concern and an area for improvement. Achieving a response rate of 70% may be a challenge for some participating countries, but should not be considered impossible to attain. As well, the credibility and quality of the survey results requires a reasonably good survey response rate.

Report Requirement

1. State the expected response rate for STEP.
 - a) Explain the rationale for the expected response rate.
2. Explain any expected deviations from the STEP Technical Standards.

The response rate for the STEP Survey in Ukraine is expected to be 70%. This overall response rate takes into account an expected assessment CORE exercise ‘Pass’ rate of 95%.

This expected response rate is based on KIIS’ previous experience with ULMS-2007 and 2010 GATS-Ukraine studies.

Expected Core pass rate is based on our assumption from other countries’ preliminary experience with STEP survey.

The calculation of the response rate will be the responsibility of the STEP Consortium.

4.4 Sample Frame

STEP Standard

The sampling frame should provide coverage of the target population so that the number of unique, in-scope survey units on the sampling frame comprises at least 95% of the target population.

Upon receipt of the sample frame and agreement of its suitability for STEP sampling, the STEP Consortium will select the sample of PSUs, including a reserve sample of PSUs for use when it is not possible to conduct any interviews in an entire initially-selected PSU.

If there is no recent Census available (i.e. less than 3 years old), the firm will carry out a 'door-to-door listing of households' in each selected PSU (see OM for details).

Rationale

In essence, the sampling frame is the list of the population from which the STEP sample will be selected. The sampling frame defines the coverage of the target population and provides access to the selected sample. The frame can be a source of non-sampling errors, such as error due to under-coverage or over-coverage of the target population, or errors due to duplication of population members on the frame. Since the frame provides the means to identify and locate selected population members, the quality of the information on the sampling frame directly affects the quality of the selected sample as well as the data collection operation. Therefore, the information contained on the survey frame must provide acceptable coverage of the target population and be complete, accurate, and up-to-date.

It is essential to ensure that the sampling frame provides acceptable coverage of the target population, and satisfactorily meets the requirements for sampling, locating selected population members, and for estimation purposes.

Report Requirement

1. Description of the sample frame

- a) Frame type (e.g., population register, household list, list of geographic units, etc.)
- b) Source of frame (e.g., 2006 Census, Labour Force Survey, etc.)
- c) Definition of survey units on the frame for each stage of sampling.
- d) Data items on the frame for each stage of sampling (e.g., name, address, age, gender, education, etc.)
- e) Identify the variables to be used for stratification if applicable.
- f) Provide survey frame counts by stratum and type of survey unit (e.g., PSUs, dwellings) as applicable to the sample design.
- g) Quality assurance procedures (i.e., assessment of quality of frame information)
 - i) Provide any information regarding known frame issues, e.g., under-coverage of target population, inclusion of out-of-scope units, up-to-date, duplication, etc.
 - ii) Explain any steps to ensure that the frame is complete and up-to-date.

h) Explain any expected deviations from the STEP Technical Standards.

1. Sample Frame

A special feature of the STEP Ukraine survey is that it will be joined with ULMS-2012 panel study that will give vital information on trends and developments over almost a decade using results of three waves of data collected in 2003, 2004 and 2007. Moreover, this makes the study feasible financially due to the partnership with IZA. Therefore, there are three sample components in this survey from which individual STEP respondents will be recruited:

- 1) ULMS panel sample which was first drawn in 2003 and then repeated in 2004 and 2007;
- 2) New ULMS-2012 subsample aimed at reduction of ULMS panel attrition;
- 3) STEP urban subsample in order to get a minimum of 2,400 valid urban individual literacy assessments.

The sample frames of ULMS and STEP are independent of each other. The probability for overlap – that is, for the household selected for STEP subsample to appear in the ULMS panel household – is very low. We select 89 urban postal districts from about 1341 urban postal districts (the probability to be included is 0.0664) and 300 voting districts from 14682 urban voting districts (probability is 0.0204), one postal district is on the territory of 1 or 2 voting districts/ So the probability of selection the postal district on the territory of voting district is less than $0.0664 \times 0.0204 \times 2 = 0.0027$. Even if we have intersection of SSU we may have different households in different subsamples from postal and from electoral district.

Stratification. Major 26 administrative units will be used for stratification: 24 oblasts, Autonomous Republic of Crimea, and the city of Kiev (capital and the biggest city of the country). Thus, we have 26 strata covering all urban population of the country. Counts of population in each stratum was given in previous section.

The sampling frames for the subsamples are the following:

1st sample stage (selection of PSUs):

#	Subsample	Sample frame
1	ULMS panel sample	We used as PSU cities and towns in urban part and rural rajons - in rural part of Ukraine. Urban PSUs (89 cities and towns) included in initial ULMS panel (2003-2007) sample (in turn, those PSUs (cities/towns and rural counties) were selected from the entire list of settlements; source: 2001 Ukraine Census; overall the country had 1341 cities/towns and 490 rural rajons then). The detailed table containing total and sampled counts will be presented later.
2	New ULMS-2012 subsample	The same PSUs included in initial ULMS panel (2003-2007) The same PSUs as for the ULMS panel sample unless in some PSUs no sample repair is needed

3	STEP urban subsample	The list of 300 voting precincts covering all strata. Source: GATS Ukraine sample, 2009 (300 urban voting precincts randomly selected using PPS from the list of 14,682 urban VPs covering all urban Ukraine (Central Electoral Commission of Ukraine, 2007))
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2nd sample stage (selection of SSUs):

#	Subsample	Sample frame
1	ULMS panel sample	Households comprising ULMS panel (2003-2007) (in turn, taking into account that in 2003 Ukraine did not have reliable list of households (and now does not have it either), those HHs were selected using 'route' approach. Thus, starting with the randomly selected initial address (from the selected postal district) interviewer creates a list of households for interviewing). Starting from the first apartment/building, interviewer follows the rules to define next apartments/buildings in a chain. The rules are transparent and clear so that both interviewer and inspector can easily and independently define the apartments/buildings to be selected.
2	New ULMS-2012 subsample	Not sampled HHs from those urban PSUs included in initial ULMS panel (2003-2007) Total number of non-participated households is 1134 (among them are households, which refused to take part in the survey – 411). We will need additional random sample on last stage. The additional sample is selected from the important groups that were under-represented in the original ULMS sample.
3	STEP urban subsample	The list of HHs situated at the area of randomly selected voting precincts (Source: 2009 GATS Ukraine enumeration). The number of households is known from the household enumeration conducted in those 300 voting precincts in 2009. The households within each voting precinct will be systematically selected from the entire list using procedure suggested by STEP consortium.

3rd sample stage (selection of individual respondent):

#	Subsample	Sample frame
1	ULMS panel sample	All eligible (15-64) members of selected HHs
2	New ULMS-2012 subsample	All eligible (15-64) members of selected HHs
3	STEP urban subsample	All eligible (15-64) members of selected HHs

The guide for selection of the respondents for the ULMS is attached. The selection of the households for STEP urban subsample will be conducted according the STEP standards.

A ‘door-to-door listing of households’ in each selected PSU will be conducted.

Approach to households enumeration.

The list of all building (but not households) within urban Voting Precincts (VPs) is available from the Central voting commission. Maps showing the locations (with unique numerical identifiers) are also available for big cities. Using these two sources, the plan is to construct a list of HHs in each of the selected urban PSUs as follows:

1. Using the building information and maps in the home office, list all of the buildings within the PSU in a serpentine (i.e., geographic) order and write down in Building listing form.
2. Send specially trained field workers to the PSU with the list and map. The field worker has to visit each building in the order given on the building listing form.
3. At each building in the PSU the enumerator has to determine (from the building manager and/or residents) the complete numbering/lettering sequence for all HUs in the building (e.g., 101-120; 201-211, 213, 215-224; etc.) and record this information on the building listing form. Also determine and record the address of the building, or at least provide information to enable interviewers to find the building. Back in the central office, we will prepare a separate machine-readable frame of HUs (i.e., apartments or single-HU structures) for each urban PSU using the information recorded in step (3) on the building listing form.
4. Separately select a systematic sample (starting from random point) of 30 HUs for each urban PSU (Voting Precinct) from these HU lists.

Implementation of households enumeration.

Objective: To create a complete list of the households located at the area of the selected voting precincts (for urban population).

Performers: Fieldworks of enumeration will be performed by the trained groups of interviewers from KIIS’ regular regional groups of interviewers and field controllers.

Each enumerator will receive the task containing the margins of the voting precinct, which they have to walk around and enumerate.

The examples of the task:

Завдання для перепису домогосподарств для проекту GATS в Україні

Область: АР Крим Код області: 1

Номер ТВО	Номер ВД	Область / Район / Населений пункт	Межі дільниці
ТВО №91	ВД №923	м. Сімферополь	Вулиці: Сіза Сочинська Толбухіна Гавена з №91 по №95 і вся парна сторона Батунська з №21 до кінця і з №34 до кінця Провулки: Ліккернський Руський з №33 до кінця і з №32 до кінця

Завдання для перепису домогосподарств для проекту GATS в Україні

Область: Одеська Код області: 16

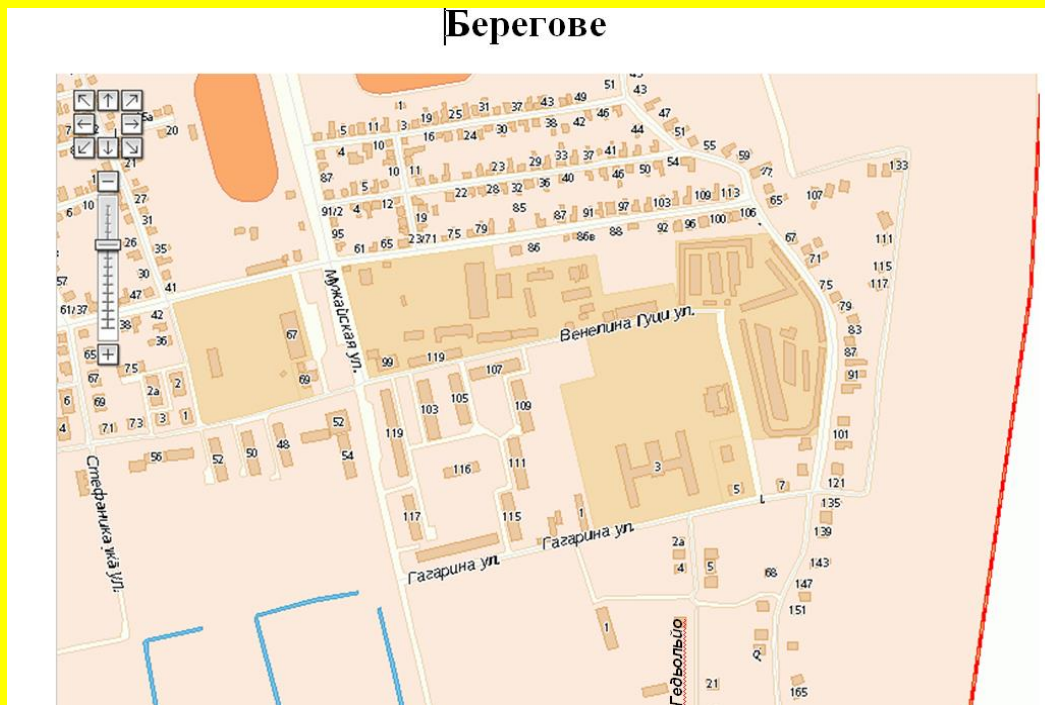
Номер ТВО	Номер ВД	Область / Район / Населений пункт	Межі дільниці
ТВО №132	ВД №31	м. Одеса	Вулиці: Марсельська №7, 8, 9, 10, 11, 12, 13, 14, 16, 18, 20 Жолю Кюрі №52

List of parameters:

- Voting district
- Voting precincts
- Region (oblast, rayon, settlement)

- Borders of precincts (Streets, buildings and apartmenta)

Where available, the enumerators will be provided with the map of the area, e.g.:



The enumerator will fix the results in the following form:

сторінка ____ з ____

ПЕРЕЛІК МІСЬКИХ ТА СІЛЬСЬКИХ ПОМЕШКАНЬ

Номер ТВО _____ Номер ВД _____ Переписувач: _____ Код _____

1	2	3	4	5	6	7
№ рядка	Вулиця	Будинок	Кількість Д/Г (>1)	Квартири		Пояснення
				з	до	
1						
2						
3						
4						
5						
6						
7						
8						
9						
0						

List of parameters:

- Voting district
- Voting precincts
- Enumerator

- Address (Streets, buildings and apartments)
- Number of households
- Comments

The results of enumeration will be entered into database in Excel format. Example:

	A	B	C	D	E	F	G	H	I	J	K
	Код обл.	Индекс	Регион	Мисто-село	ТВО	ВД	Населенный пункт	Район	Вулиця	Будинок	Квартира
2	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	2
3	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	3
4	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	4
5	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	5
6	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	6
7	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	7
8	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	8
9	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	9
10	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	10
11	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	11
12	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	12
13	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	13
14	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	14
15	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	15
16	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	16
17	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	17
18	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	18
19	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	19
20	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	20
21	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	21
22	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	22
23	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	23
24	1	99040	АР КРИМ	1	ТВО №225	ВД №105	м. Севастополь		Проспект Генерала Острякова	69а	24

List of parameters:

- Code of region
- Postal code
- Oblast
- Voting district
- Voting precincts
- City/town
- Rayon
- Address:
 - Streets
 - Building
 - Apartment

4.5 Sample size – Full Assessment

STEP Standard

The sample size requirement for each STEP reporting language population is as follows:

- *A minimum of 2,400 complete STEP interviews for each STEP reporting language target population are required.*
- *In addition, the final sample must include for each STEP reporting language target*

population at least 600 completed cases for each of the four exercise booklets.

A case is considered complete for inclusion in the required sample size if it satisfies the following conditions:

- 1) All modules in the Household Questionnaire have been administered.*
- 2) All items in the General Booklet were attempted.*
- 3) All items in the assigned Exercise Booklet were attempted.*

Each participating country will develop and implement procedures to regularly monitor the sample returns during data collection to ensure that the sample size goals are achieved.

Rationale

The standard sample size is the minimum required to ensure the stabilization of the theoretical model that is used to produce the estimates of plausible literacy levels. The STEP minimum sample size requirements must be met to ensure that the estimates produced from STEP can be generalized to the population from which the sample is selected, and that these estimates have an acceptable level of precision while meeting a minimum response level criterion.

Report Requirement

1. STEP target sample sizes
 - a) Provide the country's final sample size goal by sample design variables, e.g., by strata, by PSU, etc.
 - b) Provide the country's overall initial sample size, including the size of the reserve sample, by sample design variables, e.g., by strata, by PSU, etc..
 - b) Describe the basis for the size of the reserve sample, e.g., non-response expectation, design effect.
2. Provide the rationale for additions to the sample size to satisfy country-specific data analysis objectives.
 - a) What are the data analysis objectives? For example, identify the important data breakdowns or survey estimates to be derived from the survey data.
 - b) What are the precision goals for the survey estimates?
3. Sample monitoring procedure.
 - a) Describe the planned strategy for monitoring the sample returns to ensure that the sample size goal is achieved.

1. STEP Target Sample Sizes

Ukraine seeks to complete a minimum requirement for STEP sample of 2400 completed literacy assignments in Ukrainian with aim to obtain 600 complete cases for each exercise booklet. Complete literacy assignment will satisfy the 'complete case' definition.

Each subsample's contribution to the total sample is anticipated as follows:

#	Subsample (urban part)	HHs	Individuals
---	---------------------------------	-----	-------------

		Contacted	RR	Achieved	Contacted	RR	Achieved
1	ULMS panel sample	2052	75%	1539	1385*	90%	1247
2	New ULMS-2012 subsample	376	77%	290	290	90%	261
3	STEP urban subsample	1299	77%	1000	1000	90%	900
	Total	3727		2829	2675		2408

* Since the individual respondents for ULMS are 15-72 years old, we assume that about 10% of panel HHs will not be eligible for STEP literacy assessment interview (no HH member 15-64).

The response rate for the STEP Survey in Ukraine is expected to be 70%.

The calculations were based on information about response rate from ULMS-2007 and GATS-Ukraine (2010) surveys.

For the STEP urban subsample the reserve sample will be selected at the same time as the original sample is selected.

2. Special additions to the STEP sample size.

3. Sample Monitoring procedure

Sample implementation will be monitored by the data collection manager on daily basis. The regional supervisor will report daily on completed interviews, non-response cases and employment of reserve sample (some delays are possible for remote areas). Data collection manager will prepare detailed report for project manager every week.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

5.0 SAMPLE DESIGN

STEP Standard

- 1) *A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample must be used. As well, the sample selection process must be objective (i.e. a random selection method must be used) at all stages of sample selection.*
 - a) *The ‘preferred’ sample design is a multi-stage design that employs sampling with probability proportional to size (PPS) for as many stages as practically possible.*
 - b) *The selection of households (15 original and 15 reserves) within selected PSUs will follow STEP Consortium guidelines.*
 - c) *All countries must use the same procedure for selecting a household within a multi-household dwelling, if applicable. The procedure will be provided by the STEP Consortium.*
 - d) *All countries must use the same procedure for selecting a person within a household. The procedure will be provided by the STEP Consortium.*

Rationale

The development of a sample design should consider the STEP objectives as well as methods of data collection and the relative cost of the data collection. An appropriate sample design should be driven by the desire to obtain the best precision possible for the stated sample size balanced against the need to establish a highly efficient data collection. Only probability sample designs are based on recognized sampling distribution theory, permitting the estimates derived from the survey sample to be legitimately generalized to the population from which the sample is selected. Also, only with a probability sample design can the sample data be used to produce estimates of measures of precision of the survey estimates, such as the coefficient of variation, the standard error, or the margin of error.

As well, the credibility and quality of the survey results requires a reasonably good survey response rate.

Report Requirement

1. Description of the probability design to be used, including any stratification and multi-stage sample design considerations
 - a. Number of sampling stages.
 - b. Describe sampling unit at each stage of selection.
 - i. Provide counts of sampling units for each stage.
 - c. Describe the procedure for sample selection within a household if applicable.

Design description for each of 3 subsamples (ULMS panel sample; new ULMS_2012 subsample; and STEP urban subsample) is provided below.

ULMS panel sample

ULMS-2012 is a panel study, which will be conducted with respondents included in the sample of ULMS-2003 basic research and follow up survey ULMS -2004 and 2007. We plan to contact all ULMS panel households and collect 1247 STEP interviews in urban area. Briefly this sampling methodology is as follows. The counts for sample units will be provided later.

In each oblast and in AR of Crimea, all settlements (settlement=PSU for this part of the sample and mean city/town for urban area and rajon (kind of county) for rural area) were stratified according to their size and type (rural rajon, town, and city). Probability to get into sample for each settlement was proportional to its size (population). In each separate settlement, post offices were randomly selected; in each of them the post sites (one post site from each post office approximately for every 10 households) were selected. After selection of PSU we selected postal districts as SSU in every PSU. The number of districts selected in every settlement depends on sample size for that settlement (one district for every 10 person as average). Postal districts were selected with equal probability.

Since we were implementing 'route' method, the next stage is selection of initial address. The rule for selecting the first household is the following. Every interviewer had random number to select one street from all streets, which are served by the postal district (postal districts were selected on previous stage of selection). He or she selected streets with equal probability. Then interviewer selected one dwelling on selected street with equal probability and one apartment (interviewer had random numbers for that selection and rule what to do if that random number is more than total number of dwellings on selected street or number of apartments in selected dwelling). Thus, the initial address is selected. Starting with that address interviewer just go to the next door with the number $n+1$. Interviewer also had rule of selection next dwelling if there were no households nearby.

For ULMS we interview all members of the household. For STEP one individual respondent will be randomly selected within each eligible HH following the person selection procedures in the STEP HH questionnaire.

New ULMS-2012 subsample

To reduce attrition of panel (panel aging, mortality, migration), we plan to add 500 new households to the ULMS panel sample all over Ukraine. ULMS was conducted in 178 settlements, we will select 50 of them with a probability proportional to the size. We assume that in this case we will interview 376 households, and 261 of them will be eligible for STEP interview (i.e. urban). The new sample will be carried out in the same PSU, as the old one, and in the same postal parcels. For a new sample being able to eliminate the shortcomings of the old panel sample, it will be built as a quota on the last stage: the interviewer will get the starting address and will bypass the apartments starting with that address. Quota will be calculated on the base of deviation of 2007 data (region, urban-rural, gender, age, education) from first wave of ULMS data (2003 data). After combining ULMS PANEL and NEW ULMS-2012 we will restore the characteristics of initial panel, 2003. To receive data, which is representative for population in 2012, we may use weights, which based on Census 2001 data and data of our survey of 2009.

STEP urban subsample

Taking into account that ULMS study cannot supply enough urban households which have 15-

64 individuals, we will need to draw additional sample just for STEP survey purposes.

The survey will cover the urban regions of the country. The sample of 1000 households will be selected in two stages. In the first stage, 67 voting precincts (hereafter referred to as *Primary Sampling Units* or *PSUs*) will be selected systematically from the list of 300 VPs with equal probability. In the second stage, an equal number of households will be randomly chosen from the entire list in each selected PSU. The sample file will also include an indicator of the Exercise Booklet # to be assigned to selected households. The main respondent will be randomly selected in each household visited from among all household members aged 15 to 64 years. The selection method for the main respondent is described in the household questionnaire. There is no replacement of main respondent allowed.

Geographic coverage. The STEP survey will cover the urban regions of the country.

First sampling stage. The PSUs will be *voting precincts* (VPs). The sample frame will be 300 urban PSUs randomly selected for GATS Ukraine survey in 2009 from those generated by 2007 national elections. For each PSU, the sample frame contains an unambiguous identifier (codes for the precinct itself and territorial electoral area it belongs to) and a measure of size (number or registered voters).

The firm is responsible for obtaining an electronic copy of the sample frame, and making it available to the World Bank expert who will select the PSUs in the sample. The firm will then be responsible for obtaining the cartographic information needed to recognize each of the selected PSUs in the field.

Second sampling stage. The sample frame for the selection of households in each selected PSU is available from 2009 GATS Ukraine enumeration. In this stage, the dwellings will be selected from a list of dwellings in each selected PSU by systematic equal probability sampling. At the same time, the reserve sample of dwellings will be selected for use as needed to ensure that the target sample size is achieved.

Third sampling stage. The main respondent will be randomly selected in each selected household from among all household members aged 15 to 64 years. The selection method for the main respondent is described in the Household Questionnaire.

The Interviewer must then proceed to interview the selected person if the person is at home. Otherwise, the Interviewer would arrange a return visit to interview the selected person.

5.1 Sample Allocation and Selection

For the STEP urban subsample the procedure of the households selection (both 15 original and 15 reserve) will correspond to the STEP standard (see Operations Manual). In case of multi-household dwellings the interviewer will have the clear rules for the random selection of one household (Kish tables will be used).

For urban population (both ULMS and STEP) one person within the household will be selected in accordance with the procedure to be provided by the STEP Consortium.

Random selection of one of the four Exercise Booklets to be administered to a respondent will be conducted in accordance to the procedure to be provided by the STEP Consortium.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

6.0 LITERACY ASSESSMENT

STEP Standard

A participating country will implement the full literacy assessment design as prescribed by the STEP Consortium.

The General Booklet comprised of the Reading Components and the Core Literacy Items will be administered to each selected person.

Each interviewer will use a stop watch to time the Reading Components exercises in the General Booklet.

Subsequently, for those respondents with 3 or more correct answers for the Core items, one of the four Exercise Booklets will be randomly selected to be administered to the respondent.

The assessment component of the survey ends with the administration of the General Booklet for respondents with less than 3 correct answers for the Core items.

Rationale

In order to ensure that the STEP assessment results are comparable across participating countries it is essential that the assessment be consistently administered in all participating countries.

For countries that are implementing a full literacy assessment, respondents that pass the Core (Part B of the General Booklet) will be routed to the second part of the assessment, which consists of four exercise booklets. However, each respondent must complete only one of the four booklets, and that booklet must be randomly assigned to the respondent.

The STEP Consortium will be responsible for the sampling of first stage sample units for each participating country and will provide a sample file that will indicate the Exercise Booklet to be assigned for each of the sampled cases in the initial sample of 2,400 target population. When there is a non-response case that is replaced by a reserve sample unit, the supervisor responsible for the release of the reserve sample unit will ensure that the Exercise Booklet # assigned to the reserve sample unit is the same as the Exercise Booklet # assigned to the initial sample unit that is being replaced.

For example, consider the case of a PSU with 15 households initially sampled. If a selected household that was assigned Exercise Booklet #3 is determined to be a non-response case after the appropriate follow-up attempts then the supervisor will release a reserve sample to replace

this non-response case. In this situation, the supervisor will ensure that the replacement reserve sample unit is assigned Exercise Booklet #3, the same booklet # that was assigned to the originally sampled household.

Report Requirement

1. Description of the STEP assessment to be implemented.
2. Languages in which assessment will be administered.
3. Explain any expected deviations from the STEP Technical Standards.

Ukraine will implement a full literacy assessment in Ukrainian. ***Each interviewer will use a stop watch to time the Reading Components exercises in the General Booklet.***

The Interviewers will be trained to administer the assessment according to the instructions provided by the STEP Consortium.

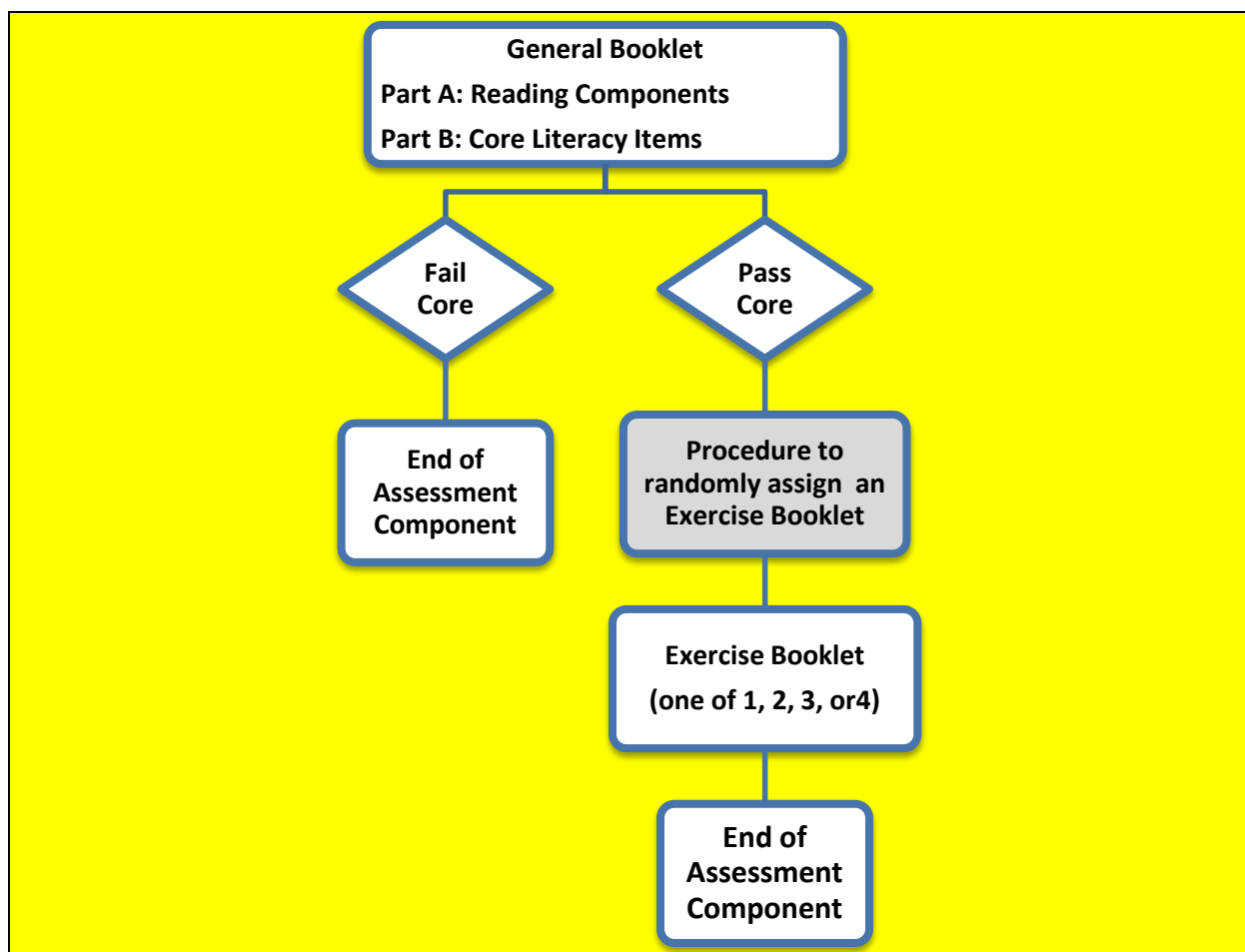
The assessment portion of the STEP Survey will include the administration of a General Booklet to each respondent. The General Booklet is comprised of two sections,

- Part A is an assessment of reading skills.
- Part B is a set of CORE literacy items.

The Interviewer will score the Core items during the interview. If a respondent gets 3 or more correct answers to the Core items then one of the four Exercise Booklets will be randomly chosen to be administered to the respondent. If a respondent gets less than 3 correct answers to the Core items the assessment component is terminated, i.e., no Exercise Booklet will be administered to the respondent.

The workflow for the full assessment component of the interview, as described above, is shown in Figure 1 below.

Figure 1. Proposed Workflow – Full Assessment



6.1 Translation and Adaptation of Literacy Materials

STEP Standard

Participating countries are responsible for the translation of the assessment instruments and their adaptation to national circumstances.

The translation and cultural adaptation of the assessment items will be carried out according to the translation and adaptation guidelines prepared by ETS.

The recommended procedure for developing the national versions is double translation by two independent translators, followed by reconciliation by a third translator. It is also recommended that translations be reviewed by a national panel of domain and/or survey experts.

Each participating country will prepare STEP national assessment booklets modeled after the master assessment booklets provided by the STEP Consortium.

Each country will submit its translated literacy booklets in each of its STEP reporting languages to the STEP Consortium for verification and approval.

Rationale

In order to ensure that the STEP assessment results are comparable across participating countries it is essential that the same skill assessment information is collected across countries. If valid comparisons of assessment results are to be made across countries, the equivalence of different language versions of the assessment instruments is essential. For literacy test instruments, “equivalence” refers to semantic equivalence (content), as well as equivalence in terms of register, style, readability and other characteristics likely to affect literacy performance.

Report Requirement

1. Description of the Translation process for the literacy materials.
2. Languages in which the assessment materials will be translated.
3. Explain any expected deviations from the STEP Technical Standards.

Each participating country will prepare STEP national assessment booklets modeled after the master assessment booklets provided by the STEP Consortium. In other words, the number of pages, the numbering and order of pages, the layout of stimulus material and directives, the graphics, the response format, the text format, and the print quality will all be the same as in the master assessment booklets provided by the STEP Consortium.

The literacy exercises are provided to the Survey firm/agency directly in a Word document. These should be translated respecting the text size and formatting. The recommended method of translation is the following: independent translation of all text by two translators who have no contact with each other, and one reconciler will reconcile the two translations, keeping the best parts from each of them. The reconciler will be responsible for creating a single form of the Verification Follow-up Form (VFF) that includes comments from either or both translators as well as his or her own comments. The final VFF form together with the translated materials will be then submitted to the World Bank, who will then send the materials to ETS, the organization that is providing the literacy exercises for the STEP program. The materials will then be sent for independent verification with feedback provided to countries about the translated versions of their materials.

KIIS has received all the literacy exercises in a Word document. Then they have been translated using the recommended method of translation: all text was translated by two independent translators who had no contact with each other, and one reconciler reconciled the two translations, keeping the best parts from each of them. The reconciler filled in the Verification Follow-up Form (VFF) that included comments from either or both translators as well as her own comments. The final VFF forms together with the translated materials have been submitted to the STEP Consortium for verification and approval.

6.2 Printing of Literacy Assessment

STEP Standard

Each country will ensure that the approved assessment booklets from ETS are printed according to the printing instructions provided in the document 'STEP_Paper_Booklet_Printing_Specifications.doc'.

The assessment booklets must be printed (NOT photocopied) as saddle-stitched booklets so that each page of the final printed booklets is either a letter-size page or an A4-size page.

Rationale

It is critically important that each country print the assessment booklets in the same manner using the same paper size.

Report Requirement

1. Description of the printing criteria that will be followed.
2. Include information on who will print the booklets.

Each participating country will ensure that the booklets are printed according to the ETS criteria.

KIIS is responsible for printing all necessary documents. They will be printed keeping all formatting. Some extra copies of materials will be printed (for the purposes of training and cases of defective pages, wasting etc.).

The ETS booklets will be printed at duplicator ('risograph') or through offset printing (the selection of the printing method will be done through printing 1 complex/intricate in terms of images page from the booklets and comparison of quality of printing). Furthermore, random quality checks of printed booklets will be made.

I agree with the above,

JOHANNES KOETTL

Signature:

VICTORIA ZAKHOZHA

Signature:

7.0 HOUSEHOLD QUESTIONNAIRE

STEP Standard

Each participating country will implement the Household Questionnaire prescribed by the STEP Consortium.

Country-specific Questions

- 1) Each country is permitted to insert up to 5 country-specific questions in the Household Questionnaire. The questions and their placement must be confirmed with the STEP Consortium.*
 - a) The rationale for the inclusion of country-specific questions must be provided.*
 - b) The wording of the proposed questions must be included in the NSDPR.*
 - c) The placement of the questions must be discussed with the STEP Consortium.*
 - d) An outline of the pre-test strategy for the questions must be included in the NSDPR.*

Rationale

The household questions must have the same meaning for respondents in all participating countries despite differences in language and culture. A core set of questions with standard concepts and definitions related to the survey objectives is necessary to allow comparability of the survey results between participating countries. Since there are many participating countries, each with its own language and culture, a standard translation procedure is also critical to ensuring that the household questions do indeed have the same meaning for respondents, survey researchers and data users.

Report Requirement

1. Rationale for the inclusion and placement of country-specific questions on the Household Questionnaire.

Country-specific questions on the Household Questionnaire result from a merge of STEP Ukraine survey with ULMS-2012 panel study.

The STEP Skills Measurement Survey for Ukraine is integrated into the Ukrainian Longitudinal Monitoring Survey (ULMS) 2012. STEP Questions which are been covered by ULMS have been adapted to reflect the STEP questions and answer options have been numbered accordingly to reflect STEP answer options. STEP Questions previously not covered by ULMS have been added into the questionnaire.

Specifically, Module 1 Household level Information of the STEP Skills Measurement Survey is integrated into the ULMS Household Questionnaire 2012. Part A of Module 1 the Household Roster is covered by the Household Section A of the ULMS Household Questionnaire, Subsection 1 Structure of Household. Part B of Module 1 Dwelling is covered by Subsection 2 Dwelling of the Household Section A of the ULMS. Part C of Module 1, the Filter to choose the individual respondent has been added as Section D at the end of the questionnaire before the final interviewer remarks.

Modules 2 to 10 are integrated into the individual ULMS questionnaire. Since the individual

questionnaire of ULMS is asked to every household member, only the individual chosen by the Filter C in Module 1 of STEP will be asked an extended individual questionnaire, which contains all STEP questions. The other household members will answer a standard individual questionnaire, which since for ULMS it is essential for its panel structure to answer the same questions relevant for ULMS to all the household members, has the same questions as the extended questionnaire with the exception that the extended questionnaire additionally covers questions only relevant to STEP, which are Module 5 Work Skills, Module 9 Reading Exercises and Module 10 Interviewer Impressions of Module 9.

Module 2 Education is integrated into ULMS individual questionnaire Section G.I Studies and Skills.

Module 3 Health is integrated into ULMS individual questionnaire Section I Attitudes, expectations, health and contact.

Module 4 Employment is integrated and covered into ULMS individual questionnaire Sections C Main jobs in 2007-2012, D Non-employment in 2007-2012, E Main job and secondary jobs in the reference week and F Unemployment and job seeking in the reference week. Specifically, the questions of Part A Labor Force Participation are covered by the ULMS Sections C to F. Part B Overview of Past Week is covered by Section E Main job and secondary jobs in the reference week. Part C Main Job in Past Week is covered by Section E Main job and secondary jobs in the reference week and partly by Section C Main jobs in 2007-2012.

Module 5 Work Skills and its two Parts A Self-Reported Literacy /Numeracy and B Skills at Work are added into the ULMS extended questionnaire as Section G.II Employment Skills into Subsections A, Self-Reported Literacy /Numeracy, and B, Skills at Work, respectively.

7.1.1.1.1 Module 6 Personality, Behavior and Preferences is merged into Section B.II Skills, specifically Part A into Subsection B.II.A Personality and Behavior and Part B into Subsection B.II.B Preferences.

Module 7 Language and Family is covered by ULMS Section B.I Individual Characteristics of Household Member and Section G.I Studies and Skills.

Module 8 Interviewer Impressions for Modules 2-7 is integrated into the continuation of Section A Interviewer's remarks.

Finally, Module 9 Reading Exercises and Module 10 Interviewer Impressions of Module 9 are added into the extended ULMS individual questionnaire as Sections J.I Reading Exercises and J.II Interviewer Impressions for the Reading Exercises.

2. Description of the pretest strategy

Ukraine will implement the Household Questionnaire prescribed by the STEP Consortium. It will be pre-tested as required by the STEP Consortium and as specified below.

A pilot survey

Adapted finalized questionnaire will be available in English and also translated into two languages: Ukrainian and Russian.

These finalized questionnaires and sampling methodologies will be tested in a pilot test of 24 households. The household questionnaire will be administered in the households, choosing the

main respondent and applying all parts of the questionnaire, including the literacy exercises.

- (a) The pilot test will be conducted approximately half in low -income households and half in medium/high income households. The households will be selected in areas that do not form part of the sample of the main survey.
- (b) The pilot test will be led by the main trainer(s) for the interviewer training, and will involve 5-6 senior persons as interviewers for the pilot. These senior individuals will then be assisting in the interviewer training and will be fieldwork managers in the survey. This will allow a further familiarization of the instruments for the survey and will allow for effective debriefing from senior persons.
- (c) Create a brief (5-10 pages) report on the pilot with recommendations for any changes to the questionnaire and for implementation. This report will be based on a template provided by the World Bank team. There will be a debriefing by phone of the main results of the pilot survey.
- (d) KIIS will work in close collaboration with IZA and the World Bank team, in identifying areas that may require adjustments (wording, fluidity, translation, etc.)
- (e) Associated adjustments to the implementation manual and training program for interviewers and field operators will be made upon completion to the adjustments to the instruments. Training program will incorporate the results of pilot (the main training will be held after pilot).

3. Translation of the Household Questionnaire

The required method of all questionnaire translations is the following: independent translation of all text by two translators, who have no contact with each other. A third translator will reconcile the two translations. (Before the reconciliation of the questionnaires, the questionnaires will be put into their proper questionnaire format in Excel by the World Bank). This reconciliation by a third translator will ideally be done in collaboration with a senior member of the survey team who is strong in English and who is involved in the survey piloting and fieldwork, as well as a representative of the World Bank if possible.

4. Printing of the Household Questionnaire

KIIS is responsible for printing questionnaires. They will be printed keeping all formatting. Some extra copies of questionnaires will be printed (for the purposes of training and cases of defective pages, wasting etc.).

I agree with the above,

JOHANNES KOETTL

Signature:

VICTORIA ZAKHOZHA

Signature:

8.0 DATA COLLECTION

STEP Standard

Each country will develop a data collection strategy that incorporates a survey promotion strategy, a contact strategy, a response rate strategy, an interviewer hiring and training plan, interviewer supervision procedures, and field quality control procedures.

Key elements of the data collection strategy are the following:

- 1) A minimum response rate of 70% is the goal.*
 - a. The method for calculating the STEP response rate will be consistent across participating countries. The overall survey response rate is defined as “the result of dividing the total number of complete interviews by the total number of ‘unduplicated, in-scope’ sampled individuals”.*
 - b. In cases of non-contact and temporary absence, at least three follow-up attempts are required before classifying a case as a non-response.*
 - c. A supervisor must attempt to convert refusal cases.*
- 2) The Interviewer training should last a minimum of 10 full training days, including field practice where each trainee will interview at least two households and two selected individuals.*
- 3) A field supervisor will revisit each household in the following situations:*
 - a. A household refuses or does not begin the interview because of special circumstances (result codes 1 or 2).*
 - b. A household stops before finishing the Household Module, Module 1.*
 - c. A household where the selected individual is not able to begin the questionnaire – for refusal, for special circumstance, absence, other reasons.*
 - d. A household where the individual stops without finishing the individual modules 2-7.*
 - e. A household where the individual stops without finishing the assessment exercises, Module 9.*
- 4) A verification of an interviewer's visit will be carried out by a revisit to 30% of the households in each interviewer assignment, consisting of a personal revisit to 15% of the finalized cases and a telephone follow-up to the remaining 15% sample of finalized cases.*
 - a. The households involved in the verification process will be randomly selected within each PSU.*
- 5) Progress Reporting: Each week during the survey period, each country will submit to the WB Team a data file containing all the entered survey data to date.*

Rationale

The collection of data from respondents should be as consistent as possible so that potential

bias may be minimized. There is a need to ensure that the interviewers have the necessary material for selecting a respondent within a household and the survey instruments are administered uniformly by all countries.

The participating countries consider literacy to be an important topic. The survey results will reflect on the image of the participating countries. Raising public awareness of literacy and the STEP survey through a public promotion campaign should result in a more informed population that will hopefully be more cooperative in participating in a burdensome data collection effort. In any survey, respondents are usually more cooperative when they are provided information pertaining to the survey purpose, the survey sponsor, the use of the data, etc.

A well-formulated contact strategy is important to ensure that interviewers make every effort to reach selected individuals. Such a strategy is essential to maximize response rates and thus lead to quality data.

Whenever there is any non-response to a survey there is a possibility that non-response bias may exist in the survey results. Non-response bias occurs when the non-respondents differ from the survey respondents with respect to important characteristics. If this is the case, the survey researchers and data users should not assume that the respondents' data is necessarily representative of the target population. Although such non-response bias can occur whenever there is any non-response, the risk of such an occurrence increases as the response rate decreases, i.e., as the number of non-respondents increases. Therefore, the success of the STEP requires that each country develop a strategy to minimize non-response.

A key ingredient in the success of STEP is the interviewing staff, which has a direct bearing on the quality of the data collected. Each interviewer must be given an assignment that is large enough to make it financially worthwhile but at the same time is not so large that it is difficult to complete on time. Interviewers should also be fairly paid for the number of hours that they actually work rather than being remunerated on a piece-meal basis according to the number of completed interviews achieved. If paid on a piece-meal basis there is an increased risk that the quality of an interviewer's work may suffer, e.g. an interviewer might consciously or sub-consciously rush to complete interviews without due regard to the quality of the data collected from respondents. In addition, the interviewer supervision is required to ensure that the interviewer work is of acceptable quality, to uncover potential problems that may have an impact on the survey data, and to provide opportunities to receive and provide interviewer feedback.

Report Requirement

1. Survey promotion strategy
 - a) If applicable, briefly describe the planned activities for public awareness.
2. Contact strategy
 - a) Survey promotion and advance materials.
 - b) Do you plan to conduct initial household/respondent contact in-person, via telephone, or both?

3. Response rate strategy
 - a) Briefly describe the methods to be used to minimize non-response.
 - b) Respondent incentive.
4. Interviewer hiring plan
 - a) Describe the desired interviewer characteristics (e.g. number of years of survey experience, familiarity with computers, etc.).
 - b) No. of interviewers
 - c) Method of payment
5. Interviewer training plan
 - a) Describe your proposed training approach for train-the-trainers, supervisor training, and interviewer training. For each, provide the following information:
 - i) Training dates (given as number of weeks prior to data collection);
 - ii) Location of training (site and city);
 - iii) Number of hours of classroom training, home-study; and
 - iv) Whether all trainees will be trained in one session or in multiple sessions (such as in various locations around the country).
 - b) Number of Trainers.
 - i) Trainer background/experience.
 - c) Training evaluation.
6. Interviewer supervision procedures
 - a) No. of supervisors (senior interviewers)
 - b) Responsibilities
 - c) Indicate the methods of staff communication (i.e., scheduled weekly telephone calls, e-mail, newsletters, etc.) proposed for data collection.
 - d) Interview validation – percentage of cases.
 - i) Techniques to monitor interviewer performance.
7. For each item above, explain any expected deviations from the STEP Technical Standards.

8.1 Survey Promotion Strategy

8.1.1 Public ‘Awareness’ Campaign

No public ‘Awareness’ Campaign is planned.

8.1.2 Advance Survey Information

Advance Letter and Brochure

A major factor that can influence response is the initial method of approaching a household. Therefore, the first contacts with selected households will be a carefully worded, attractive advance letter from the KIIS and the WB. In some regions (mostly in small towns) interviewers report that they are better received if respondents have received the introductory

letter by mail prior to the visit, however in big cities it may often provoke suspicions ('Where have you got my address?'), therefore, interviewers report that it is enough if they bring letters on official stationery with them during the first visit.

A two-sided brochure (in Ukrainian and Russian) will be prepared. It will provide full information about the study, including the survey purpose, voluntary nature of participation, benefits to the respondent/population, as well as answers to other major questions that arise in the surveys.

8.2 Contact Strategy

The first contact will be by means of the mailing advance materials or personally by the interviewers as described in the previous section.

All selected households will be contacted by a personal visit from a STEP Interviewer. At least three contact attempts will be made before coding the case as a non-contact. Even after three unproductive attempts, where possible, they will be followed by the attempt to set the first contact by phone.

The interviewers will also be instructed to try to establish a likely time when someone can be reached by contacting a neighbor or other informant (concierge, yard cleaner etc.).

Contact attempts subsequent to the first attempt will be scheduled according to the information received during the first contact attempt, or at different times of the day and different days of the week.

Trained Interviewers

Major factors in gaining respondent cooperation are the respondent's perception of the survey and his or her reaction to the interviewer. The respondent must be made to feel that he/she will be making a valuable contribution to an important research effort. The spokesperson for the study is the interviewer; therefore, each interviewer will be well-trained to discuss the merits of the STEP. In order to adequately prepare the interviewing team, all interviewers will be obliged to attend an in-person training session, where time will be spent developing these necessary skills.

Interviewer Identification

Establishing the legitimacy and importance of the survey effort for the respondent encourages respondent cooperation. Many people are suspicious of any stranger who comes to the door, and a number of procedures help to establish the legitimacy of an interviewer's visit. The most effective way of overcoming suspicion is through a good introductory statement during which the interviewer shows an ID badge and a copy of the advance letter and brochure.

8.3 Response Rate Strategy to Minimize Non-response

In an effort to obtain a response rate of 70 percent, a number of non-response strategies are being considered. They include:

- 1) **Interviewer training:** The interviewers will be instructed in techniques to obtain the cooperation of individuals who initially refuse or are reluctant to participate in the survey.

2) Interviewer Supervision:

Monitoring of Interviewer Work

Interviewers will be informed during training that their work will be monitored.

Throughout the data collection period there will be on-going monitoring of the interviewers' work by the interviewer supervisors. During the initial days and weeks of data collection, each interviewer's work will be carefully monitored.

Observation program

Each interviewer will be observed by a supervisor during the first two weeks of data collection, and at least one other time about half way through data collection.

Verification Sample

Supervisors will contact a sample of the interviewers' cases to verify the interviewer visit and case status.

- 3) **Follow-up:** If the interviewer is unable to gain the cooperation of a selected individual, the case will be referred to the interviewer's immediate supervisor who will take steps to convert such cases to completed interviews.

Therefore, keeping in mind that the major reasons for non-interviews in Ukraine are 'closed doors', the main attention will be directed to this problem. It will include:

- Using phone directories for making advance calls to potential respondents;
- Collecting information from neighbors/doorkeepers (whether dwelling occupied; household composition; the best time for call-backs etc);
- Contacting officials (local administration, policemen, postmen etc.) for assistance in contacting households;
- Offering booklets with information about project, support letter from the Governors, and topic-relative informational pamphlets;

Also, for dealing with refusals we will use the following strategies:

- Using communicational skills of the most successful interviewers and core team members;
- Maintaining communication center for giving information to those respondents who has suspicions and/or questions about project;
- Using motivation for interviewers to increase and diversify their call-backs in time.

A field supervisor will revisit each household in the following situations:

- 1) A household refuses or does not begin the interview because of special circumstances (result codes 1 or 2).
- 2) A household stops before finishing the Household Module, Module 1.
- 3) A field supervisor will try to contact via phone each household where the selected individual is not able to begin the questionnaire – for refusal, for special circumstance, absence, other reasons. The independent controllers will carry out a verification of each interviewer's visits by a revisit to 15% of the households in each interviewer assignment and a follow-up of a further 15% of households by telephone in each interviewer assignment as specified in section 8.4.4.
- 4) A household where the individual stops without finishing the individual modules 2-7.
- 5) A household where the individual stops without finishing the assessment exercises,

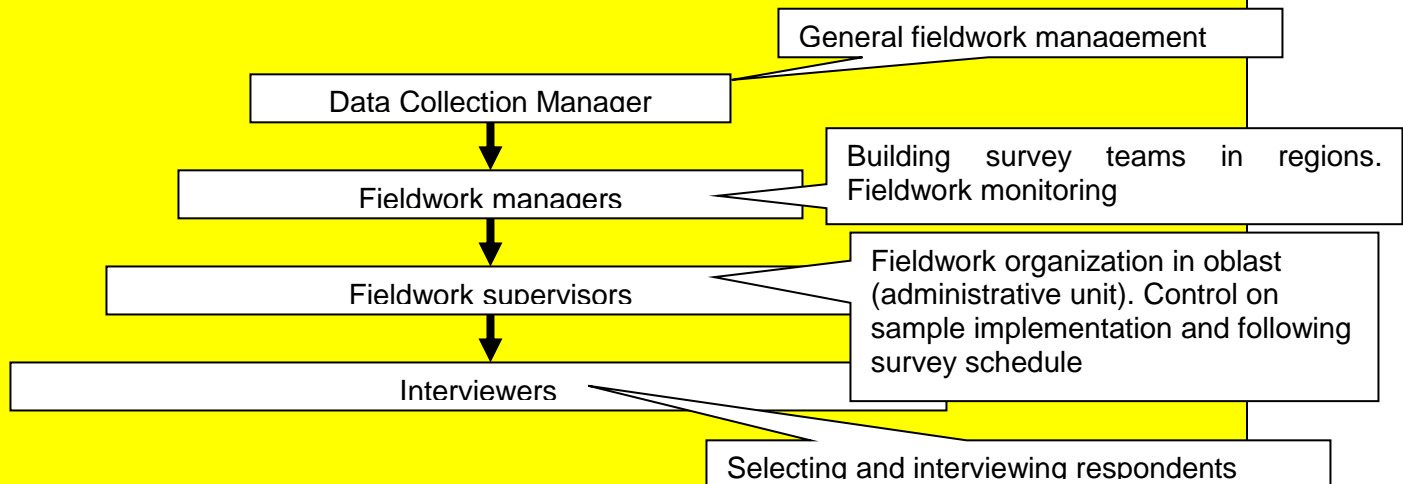
8.4 Interviewer Hiring Plan

The regional interviewer supervisors will recruit interviewers for their regions, supervised by a Field Manager. To ensure efficient trips to the field and knowledge of the local geography and population, interviewers will be hired from the areas in which interviewing assignments are located.

Regional fieldwork supervisors will be responsible for generating initial list of proposed interviewers for STEP Ukraine project. Then fieldwork managers will finalize the list with regard to interviewers' experience and level of evaluations on previous projects and area of residence.

KIIS has a nationwide network of interviewers which consists of trained teams of interviewers in each of 26 administrative units of Ukraine (24 oblasts, AR Crimea, and Kyiv city) – totaling about 500 interviewers.

KIIS' survey network has the following structure:



Mostly all (over 75%) our interviewers have higher education level, and 90% of them have experience of working as an interviewer 3 years and more. Almost all of them have a social science background that helps to be communicative, sociable, and understand people intuitively. We chose our interviewers very carefully. That's why the majority of them are very calm and balanced persons who are ready to strictly and faithfully comply with all the instructions and orders. They are receptive to others' ideas, open-minded, and motivated. Due to "bilingualism" of our society, our interviewers are fluent in both Ukrainian and Russian languages.

Those interviewers who meet the basic qualifications of availability and interest and who have generally good communication skills will be interviewed in depth by Data Collection Manager, who will then select the best candidates for interviewers for the STEP.

8.4.1 Number of Interviewers

Approximately 110 interviewers will be hired for data collection. A priority list will be established during the hiring process to identify suitable candidates in the event of interviewer turnover during the STEP. The finalized list of interviewers will be available after interviewers training.

8.4.2 Method of Payment

The interviewers will be paid based on the number of hours worked and their achievements. In addition, the interviewers will be compensated for any travel costs that are necessary to carry out an assignment.

8.4.3 Interviewer Training Plan

Before beginning the actual household and individual survey in the field, KIIS will carry out a rigorous training of its interviewers and regional field supervisors where the World Bank team is expected to participate. The training will be organized in 5 regional sessions. Each training session will last 6 full training days with longer hours including field practice where each trainee will interview at least two households and two selected individuals.

The World Bank will provide a training expert to assist in planning the training, and will provide a training plan for the training sessions. Any deviations from the training plan must be documented. KIIS plans to train at least 33% more than the interviewers and team supervisors required to field the instruments (that is 4 people for each 3 positions) from which the best performing candidates after testing will be selected.

The World Bank will be required to approve the final list of interviewers and team supervisors. KIIS will submit a final list of interviewers, field supervisors, chief coder, and coders for approval to launch the implementation of the survey.

Tentative distribution of interviewers and planned weeks for each of 5 training sessions are presented in a table below.

	Oblast	Training center	Weeks
1	Kyiv (city)	Kyiv	Weeks 1-2
2	Kyivska		
3	Vinnytska	Kyiv	Weeks 3-4
4	Dnipropetrovska		
5	Zhytomyrska		
6	Kirovogradska		
7	Poltavska		
8	Sumska		
9	Cherkaska		
10	Chernihivska		
11	Volynska	Lviv	Weeks 3-4

12	Zakarpatska			
13	Ivano-Frankivska			
14	Lvivska			
15	Rivnenska			
16	Ternopil'ska			
17	Khmelnitska			
18	Chernivetska			
19	Donetska	Donetsk	Weeks 5-6	
20	Zaporizka			
21	Luhanska			
22	Kharkivska			
23	Crimea	Odesa	Weeks 5-6	
24	Mykolayiv'ska			
25	Odeska			
26	Kherson'ska			

The training course will have plenary sessions, and training rooms with 15-20 interviewers/ team leaders. There will be a trainer and assistant trainer in each training room, and a technical support person for each three training rooms.

Trainees from the same area will be grouped in the same classroom, so that future team members will know each other.

There will be written exercises and test done throughout the training. These will be marked by training staff, including area supervisors.

There will be supplemental after hour sessions available for trainees who want more practice, or who have been identified in training as needing help.

Training staff will hold daily debriefing sessions to discuss progress, problem trainees and any technical or administrative issues that have been flagged during the day.

Data entry training: DE persons will participate in interviewer training because a thorough knowledge of the questionnaire is a valuable asset. There will be a 3 days training session on the DE program at the end of the interviewer training.

Scorer training: Scorers for the reading literacy booklets will be trained toward the end of the interviewer training period, or just after the interviewer training, by the Chief Scorer. This training will last 3 days.

8.4.4 Interviewer Control Procedures

Fieldwork control will be carried out by KIIS' independent team of controllers which work regionally. The aim of control is to ascertain an appropriate implementation of the survey (verifying adherence to the sample selected) and correct implementation of tests and adherence to established interview protocols.

In particular, the controllers will carry out a verification of each interviewer's visits by a revisit to 15% of the households in each interviewer assignment and a follow-up of a further 15% of households by telephone in each interviewer assignment. The households involved in the verification process will be randomly selected within each PSU.

If any interviewer's work is found to be suspect, the interviewer will be dismissed and all of the interviews done by that interviewer will be redone in their entirety.

The controllers will also be in charge to follow-up with households refusing the interview, in order to try and convert these households to taking the interview. If successful, an interviewer will be dispatched to interview that household.

8.5 Supervisor Hiring Plan

We will engage all 26 regional supervisors from KIIS nationwide network for implementation of STEP study in Ukraine. They will be supervised by fieldwork managers at the central office, who will report to data collection manager.

8.5.1 Supervisor Responsibilities

The regional supervisors will be responsible for:

- hiring interviewers,
- distributing sampling tasks among interviewers;
- control of sample implementation;
- assisting interviewers in working with non-cooperative respondents and other problem cases;
- supervising interviewers work (both observation and control)
- checking questionnaires for completeness and accuracy;
- delivering complete questionnaires to the KIIS' central office.

8.6 Progress Reporting

After 10% of data is collected and in the mid of the field of work, Ukraine project manager will submit to the STEP Consortium a data file containing all the entered survey data to date.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

9.0 DATA PROCESSING

9.1 Instrument Requirements to Facilitate Data Processing

STEP Standard

- 1) *A field for recording the respondent Sample Identification Number is required on all survey instruments (i.e., Household Roster, Household Questionnaire, General Booklet, and Exercise Booklet) and any pertinent supplementary material.*
- 2) *Countries must assign a unique booklet ID (serial number) to each prepared assessment instrument (i.e., to each General Booklet and Exercise Booklet).*
- 3) *Fields are required on the Household Questionnaire (or other Interviewer document, such as a case folder) for recording the final completion status of the Household Questionnaire, the General Booklet, and any applicable Exercise Booklet.*

Rationale

The survey instruments are the primary source of information for creating the international data file. The instruments serve as a vehicle for recording respondent answers to questions as well as administrative information that is needed for case control purposes or that could be used for non-response analysis.

It is essential that allowance has been made on the survey instruments for recording critical information (i.e., Sample Identification Number, final status of the instruments and the sampled case) for linking all survey instruments and related materials for a respondent as well as other administrative and analytical information.

An important consideration is that each country keep track of all assessment booklets, both the used booklets as well as the unused booklets. Countries must assign a unique booklet ID (serial number) to each assessment instrument prepared. This is required to verify that instruments distributed to interviewers have been used for the respondents, or returned and eventually destroyed so that all instruments are accounted for.

A standard set of disposition codes (i.e., final status codes) must be used by all participating countries to ensure that the status of each sampled case is consistently classified.

Report Requirement

1. Indicate that a unique sample ID will be on all documents pertaining to a sampled case.
2. Outline the procedure for keeping track of the assessment instruments, including a unique booklet ID on all printed assessment documents.
3. Outline the procedure for recording the final completion status of each sampled case.

1. Case Identification

Ukraine will ensure the identification of each sampled case by including a unique sample ID on all documents pertaining to the sampled case.

1. Assessment Booklet Identification

Ukraine will put a sticker with sequential booklet ID on each printed assessment booklet.

2. Case Final Status Code

The interviewer is required to record the final completion status of each case in his/her assignment. The accuracy of the recorded status code will be verified by the field supervisor.

I agree with the above,	
<INSERT TTL NAME>	Signature:
<INSERT PROJECT MANAGER NAME>	Signature:

9.2 Data Processing: Data Capture, Coding, Scoring, File Creation

STEP Standard

1) Data Capture

- a) For each selected PSU, the data entry must be carried out no later than 5 (five) days after the finalization of the PSU cases.*
- b) The responses from the Household Questionnaire and the Assessment Scoring Sheets will be manually keyed.
 - i) The data capture of the Assessment Scoring Sheets should be carried out by using the Data Entry Program (DEP) provided by the STEP Consortium.*
 - ii) The Household Questionnaire should be captured using a Consortium approved DEP that incorporates the list of edit checks provided by the Consortium.**
- c) Each country must key-enter the ‘write-in’ entries from the response category “Other. Please specify” for all questions where this category has been selected.
 - i) Furthermore, each country is responsible for coding these ‘write-in’ responses and providing the code set to the STEP Consortium. Each country must ensure that these coded responses are included in the editing of the data.**
- d) The responses from the Household Questionnaire and the Assessment Scoring Sheets will be 100% verified. In other words, there must be double data entry of these instruments by different key entry operators.*

2) Coding

- a) The Household Questionnaire data and assessment data will be coded as specified by the STEP Consortium.
 - i) The coding of all education variables will be done using the country-specific classification of education. The country will be responsible for providing the mapping of its classification to ISCED 1997 codes. Based on that mapping, the STEP Consortium will be responsible for constructing the internationally comparable education variable.*
 - ii) The following codebooks will be used to code occupation and industry information from the Household Questionnaire.
 - 01 ‘International Standard Classification of Occupations (ISCO 08)’ will be used to code the occupation variable. The level of disaggregation will be 3-digit.*
 - 02 ‘International Standard Industrial Classification of All Economic Activities, Fourth Revision’ will be used to code the industry variable. The level of disaggregation will be 3-digit.***
- b) The verification of the coding of Household Questionnaire data and assessment data will be performed according to the specifications of the STEP Consortium.
 - i) Data that has been manually coded will be 100% verified by another coder. The average error rate for manually coded data must not exceed 6%.**

3) Scoring

- a) Each country requires a Chief Scorer who is fluent in English and the country's STEP reporting language(s) and at least one other scorer who is fluent in English and the country's STEP reporting language(s).*
- b) The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium.*
- c) Each country is required to carry out the quality control procedures for the scoring of the assessment booklets. The quality control procedures will be provided by the STEP Consortium.*

4) Data Editing

- a) Each country will perform an edit of its STEP data file in order to identify and resolve errors in the data. Each country is responsible for ensuring that its final data file submitted to the STEP Consortium is error-free'.*

5) Data File Creation

- a) Each country's STEP data file will be created according to the International Record Layout (IRL) as specified by the STEP Consortium.*

Rationale

The processing of data from the STEP survey must be done using uniform methods to ensure that the captured data is as free of capture errors as possible. As well, the data capture system must be fully tested prior to the commencement of data capture. In addition to a fully-tested data capture system, sound quality control procedures such as 100% verification of the data capture (i.e., data capture by two different data entry staff) will ensure that the STEP dataset is free of data capture errors.

Report Requirement

1. Data capture and verification plan
2. Plan for coding and verification of data
3. Plan for scoring of the task booklets
4. Description of database creation and record layout
5. Description of the editing system
6. Explain any expected deviations from the STEP Technical Standards.

9.2.1 Data Capture

Each item in the respondent assessment booklets will be scored, and the score will be transcribed on a scoring sheet. The responses from the Household Questionnaire and the Assessment Scoring Sheets will be manually keyed from the completed questionnaire.

Ukraine will enter Household Questionnaire data into its own software (OCA) because final instrument used in Ukraine will differ much from STEP questionnaire due to merging it with ULMS. The data entry program will incorporate the list of edit checks provided by the Consortium. OCA software is well familiar to KIIS' data entry operators, and it will work against additional data entry mistakes. It also has an option of data export into SPSS for preparation and delivering resulting datafile.

On the other hand, Ukraine will use data entry program provided by ETS for the literacy module. The World Bank will provide training to the firm's IT team in using this program. The data entry will be done concurrently with field work, so that information from the data entry can inform the process of the survey.

All the data gathered from the field has to be entered but the load on the data entry operators will be different depending on the outcome of the interview. The possible outcomes are (after the required number of re-visits):

1. household refuses the interview - interview ends, but the cover page of the household questionnaire (including location, dates of contact and refusal information) will be filled.
2. household accepts interview, but there are no qualifying adults in the households - cover page, short household roster and the dwelling modules will be filled.
3. household accepts interview, there are qualifying adults, selected adult completes the interview (both household questionnaire and full literacy module).
4. household accepts interview, there are qualifying adults, selected adult completes the interview (both household questionnaire and general booklet, fails the Core)
5. household accepts interview, there are qualifying adults, selected adult starts the interview: completes the full household questionnaire but stops in the middle or refuses to take the literacy module
6. household accepts interview, there are qualifying adults, selected adult starts the interview: does not complete the full household questionnaire but completes the literacy module (either full, or only general booklet if he fails the Core)
7. household accepts interview, there are qualifying adults, selected adult starts the interview: starts the household questionnaire / literacy module, but finishes neither (not expected to be very large percentage of interviews)

Of the situations described above, situation 3 is the most complete and situation 1 requires entering just the basic cover page. Situations 4-7 are in-betweens.

1. The country's survey team should develop a coding strategy in order to ensure each household and each individual who completes the individual questionnaire has a unique code for data entry. Each interviewer, supervisor and data entry person should also have a unique code which should be recorded for all questionnaires.
2. The start and end time of the survey should be recorded.

3. The cell phone number of the individual respondent should be recorded for possible follow up.

For Kyiv the data entry will be carried out no later than five days after the finalization of the PSU cases. For other regions – no later than fourteen days.

9.2.2 Data Capture System Test

The data capture specifications and system will be tested before implementation. The testing of the data capture system will involve a thorough review of the programming specifications prior to the development of the computer programming code, and the subsequent testing of the programs prior to the start of the data capture operation. Testing will be carried out by preparing mock survey instruments (Background Questionnaires and Scoring Sheets), passing them through the data capture system, and then reviewing the resultant data file outputs. Only when satisfactory data capture results are obtained will we commence the capture of the live STEP survey data.

9.2.3 Data Capture Verification

Data capture will be verified using logical data check. Each interview will be tested for the cases of wrong skips or inconsistent answers. In case any errors occur, the hard copy of the interview will be checked and necessary corrections made.

100% double data entry will be conducted for the literacy booklets, and random 10% - for the questionnaires (with all consistency checks to be included into the data entry program).

9.2.4 Coding

Uniform coding of the questionnaire and assessment data is essential.

Pre-coded response categories on the Background Questionnaire will correspond to the International Record Layout codes.

The ‘1997 *International Standard Classification of Education (ISCED)*’ will be followed in coding the education variable collected during the administration of the Background Questionnaire.

‘International Standard Classification of Occupations (ISCO 08)’ will be used to code the occupation variable. The level of disaggregation will be 3-digit. The ‘*International Standard Industrial Classification Of All Economic Activities, Fourth Revision*’ will be used to code the industry variable.

100% double coding of open questions will be conducted.

If ‘write-in’ responses represent more than 5% of the total, the survey firm will code those and provide the code set to the STEP Consortium. It will be ensured that these coded responses are included in the editing of the data.

9.2.5 Scoring Task Booklets

The assessment instrument will be scored using the Scoring Guides provided by the STEP Consortium.

9.2.5.1 Recruiting and Training Scorers

Recruiting qualified scorers to evaluate responses is crucial to the success of the assessment.

The scorers selected will be required to hold at least some post-secondary education. Five scorers will be hired and trained to score the STEP instruments.

9.2.5.2 Ensuring Inter-rater Agreement

Inter-rater agreement refers to the consistency with which individual scorers assign a score to a question. This consistency is critical to the success of the STEP, and a number of methods will be used for monitoring this level of agreement.

First, scoring supervisors will review each scorer's work to confirm that the scorer applies the scoring criteria consistently across a large number of responses and that the individual does so consistently across time. Scoring supervisors will evaluate approximately 10 percent of each scorer's work in this process.

Next, all assessment items will be subject to an agreement check involving a second rating by a second scorer across the scoring process. The procedure outlined by ETS will be adhered to so that some part of the assessment documents is re-scored. The results of the agreement check will be monitored on a weekly basis and will provide the scoring supervisor with inter-rater agreement percentages and the percent agreement for individual exercises. Individual scorers will receive feedback on their level of performance and, if necessary, receive feedback on particular items that they may have problems scoring. If particular items seem to be giving problems to a majority of scorers, retraining will be held for those items.

Consistent performance among scorers is paramount for the assessment to produce meaningful results. Therefore, we will carefully monitor the scoring process, which will result in early identification of problems, and flexibility in training and retraining scorers.

Conducting 30% inter-rater agreement will be conducted.

9.2.5.3 Documenting the Scoring Process

All aspects of scoring constructed responses will be fully documented. In addition to warehousing the actual student booklets, we will keep files of all training materials and inter-scorer agreement reports. All the procedures used to assemble training packets, train scorers, and conduct scoring will be documented scoring reports. These scoring reports will also include all methods used to ensure scorer consistency, all reliability data, and all quality control measures. We will also summarize the basic scoring procedures and outcomes in the final survey report.

9.2.6 Creation of International Data File

STEP data will be delivered to the STEP Consortium in a clean data file according to the International Record Layout (IRL) specifications.

9.2.7 Data Editing System

There are two major types of data to be edited for the STEP survey. These are the data resulting from administration of the Household Questionnaire and the data from the literacy assessment instrument. A computerized editing system will be provided to each Survey firm/agency to facilitate the cleaning of the data.

9.2.7.1 Editing Household Questionnaire Data

The edit of the STEP international data file will include the following minimum checks for the Household Questionnaire data. For each of these edits, if errors are discovered they will be resolved, i.e., the original erroneous value will be replaced with a corrected value.

1) ID check

The record identification numbers on the STEP data file will be checked for uniqueness and integrity to ensure that there is only one record per respondent on the file, and to ensure that the record identification number is unique and in the specified format.

2) Range checks

A range check will be carried out for all those variables that can only take on specific values.

3) Logic checks, i.e., question flows

The STEP data file will be edited to check the flow of respondents through the various sections of the Household Questionnaire. The objective of this edit is to ensure that the responses for respondents who should have skipped a given set of questions have been properly coded as a 'valid skip', and that there are appropriately coded responses for respondents who should have completed a given set of questions.

4) Consistency checks

An edit of the STEP data file will be performed to identify inconsistencies that may have arisen as a result of response errors, coding errors, and data capture errors.

5) Outlier check

An edit will be performed to identify possible outliers, i.e., extreme quantitative data values. All identified outliers will be reviewed for legitimacy and to assess the potential effect on the survey estimates.

Imputation methods will not be used to treat missing Household Questionnaire data, i.e., item non-response and complete non-response.

KIIS will use a list of editing checks provided by the STEP Consortium to facilitate the cleaning of the STEP data to adjust it to its own software that will be used for entering Household Questionnaires.

9.2.7.2 Editing Assessment Data

The edit of the STEP international data file will include the following minimum checks for the assessment data. For each of these edits, if errors are discovered they will be resolved, i.e., the original erroneous value will be replaced with a corrected value.

1) ID check

The editing of the assessment instrument will consist of confirming that the correct booklet was administered to each respondent and to confirm that the completed assessment booklet was received and labeled with the appropriate case information.

The record identification numbers on the data file will be checked for uniqueness and integrity to ensure that there is only one record per respondent on the file, and to ensure that the record identification number is unique and in the specified format.

2) Range checks

A range check will be carried out for all score variables that can only take on specific values.

Scored literacy responses will be checked to ensure that they conform to the specified structure of the IRL.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

10.0 WEIGHTING

STEP Standard

The weighting of each country's clean data file will be carried out by the STEP Consortium. The weights to be added to each country's clean data file include the theoretical or sample design weight, a non-response adjusted weight, a benchmark weight, and a set of jackknife weights.

Each country will be required to provide a recent dataset containing the most recent target population counts of the key benchmark variables age, gender, education, and urban-rural indicator. This dataset may be derived from the most recent census file or similar national file, and it will be used to create the benchmark weights.

Rationale

In order to generalize the sample findings to the survey population, the estimate of a population characteristic as well as the estimate of the associated sampling error should be based on the appropriate survey weights. Each record on the STEP data file should include a single overall weight for use in producing survey estimates. It is strongly advised to include weight component factors, e.g., non-response adjustment factor, that contribute to the weight calculations. Replicate weights will also be required for use in estimating the standard error of the survey estimates.

As well, benchmarking the sample weights to agree with external population counts involves making adjustments to the sampling weights, so that when the resulting weights are summed across a particular population subgroup, the resulting total agrees with an external known population count (e.g. census counts) of the size of that subgroup. Benchmarking increases the precision of the survey estimates and also reduces the bias due to problems of survey coverage such as non-response, deficiencies in the sampling frame or data collection operations, etc..

Report Requirement

1. Description of weighting procedures including a list of the weights which will comprise part of the final survey data file
 - a) Include a description of the post-stratification strategy.
 - i) Specify the variables to be used for 'benchmarking'.
 - ii) Specify the source of the file to be used to create benchmark weights.

10.1 Weighting Procedures

The weighting of each country's clean data file will be carried out by the STEP Consortium. The weighting of the respondent records will be consistent with the Ukraine probability sample design.

The survey firm will ensure that the STEP Consortium is provided any data that is necessary for the calculation of the survey weights. The firm will ensure provision for each sampling stage of the relevant counts of the number of survey units in the population and the number of units sampled.

The survey firm will provide necessary documentation and information for calculation of weights for the ULMS panel.

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. The following weights will comprise part of each respondent record:

- 1) Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage.
- 2) Non-response adjusted sample weight - based on the sample design weight and adjusted for non-response.
- 3) Benchmark weight - the weight resulting from the adjustment of the survey results to known population totals.
- 4) Jackknife replicate weights - there will be 30 of these weights which are used to calculate the standard error of the survey estimates

10.1.1 Benchmarking Variables

The variables to be used for benchmarking are age, gender, and region.

10.1.2 Source of Benchmark Variables

Ukraine will provide the most recent counts of the benchmark variables to the STEP Consortium. The benchmark weights will be created using data from the 2001 Ukraine Census.

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

11.0 CONFIDENTIALITY

STEP Standard

Each participating country will advise the STEP Consortium of its confidentiality rules regarding collection and handling of respondent data.

Each country will submit the international data file to the World Bank STEP team (regional team and core team). Data release beyond these World Bank teams may not be done until 6 months after the submission of the final data files.

Rationale

The STEP Consortium needs to ensure that each country is permitted to share the collected data with the Consortium. The Consortium must therefore be informed of the need to ensure that each country's rules on confidentiality regarding the handling of respondent information are respected.

Report Requirement

1. Outline the country's data confidentiality requirements.
2. Outline the steps to ensure data confidentiality.

1) Ukraine's data confidentiality requirements

The STEP Survey will be conducted on the authority of the ICC/ESOMAR Code on Market and Social Research. All persons on the STEP project team will have professional secrecy clearance. The interviewers and interviewer supervisors must take an oath of confidentiality as a condition of employment.

The STEP data collects personal information from respondents. It will be managed according to the rules set out in the ESOMAR Code. The ESOMAR Code requires the protection of the identities of individual respondents. This protection is assured by removing or collapsing selected variables on the data set. Once screened, the data set is considered to be in the public domain and available to all users for the cost of reproduction.

Data will not be published or delivered in such a way that a respondent's identity can be revealed.

All prospective respondents in the survey will receive an introductory letter that will include information about the use of the data and any linkage to other administrative files. The letter will inform the respondents about their rights, such as the right to revise or delete data and the right to withdraw from the survey at any time. Respondents are informed in the letter that participation in the survey is voluntary.

1) Outline the steps to ensure data confidentiality. Ownership and sharing of STEP data

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 firm. The ownership of any information and data belongs to the World Bank and IZA.

KIIS will submit the data file to the World Bank STEP team (regional team and core team) and IZA. Data release beyond these World Bank and IZA teams may not be done until 6 months after the submission of the final data files.

All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities. A separate form of non-disclosure for the literacy booklets and training and scoring material from ETS is also required.

I agree with the above,	
JOHANNES KOETTL	Signature:
HARTMUT LEHMANN	Signature:
VICTORIA ZAKHOZHA	Signature:

12.0 QUALITY ASSURANCE

STEP Standard

Each country will outline the procedures put in place to assure the overall quality of the STEP data.

Rationale

The success of the STEP depends on the steps taken to assure that the study is designed and implemented according to common goals and sound methodology and operational practices so that the survey results are reliable. The quality assurance procedures throughout the survey process will help to ensure that the sources of survey variability may be kept to a minimum and the comparison of survey results across participating countries is both feasible and credible.

Report Requirement

1. Outline the country's quality assurance plan.
 - a) List all the procedures/activities that the country will implement in order to assure the quality of the survey results.

1. Quality Assurance

Quality assurance will be addressed at all stages of the STEP and the National Survey Design Planning Report will be submitted to the STEP Consortium. 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.

1) Team Composition

The STEP project team is comprised of experienced, knowledgeable personnel with expertise in the following survey areas: survey management, probability sample design, data collection including interviewer training and non-response reduction, data processing including data capture, coding, and editing, survey weighting and estimation, or data analysis.

The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys:

1. Ms. Victoria Zakhosha, responsible for the overall management of the STEP,
2. Mr. Volodymyr Paniotto, responsible for survey design and implementation,
3. Ms. Oleksandra Shyrokova, responsible for the field operations,
4. Mr. Andriy Androsiuk, responsible for the processing of the STEP data and the creation of the STEP International Data File.
5. Ms. Maryna Sydorenko, responsible for the translation/adaptation of all STEP materials.

2) Expert Meetings

The National Project Manager is committed to attending the international meetings deemed

necessary by the STEP Consortium. Similarly, other team members will participate in the international meetings when requested by the STEP Consortium.

3) **Survey Instruments**

Background Questionnaire

The Background Questionnaire will include the international 'core' questions, and corresponding response categories and coding schemes developed by the STEP Consortium. The questionnaire design and layout will be consistent with the STEP Consortium requirements.

A pretest of the Background Questionnaire will be conducted with a non-probability sample of 24 members of the target population.

A copy of the Background Questionnaire, in each official language, will be provided to the STEP Consortium for review and approval.

Assessment Instrument

The Assessment Instrument will be modeled after the master Assessment Instrument provided by the STEP Consortium. The instrument will be organized in the same way as the master instrument - the number of pages, the numbering and order of pages, the layout of stimulus material and directives, the graphics, the response format, the text format, and the print quality will all be the same as in the master Assessment Instrument provided by the STEP Consortium.

The translation and cultural adaptation of the assessment items will be carried out according to the guidelines prepared by the STEP Consortium.

A copy of the Assessment Instrument, in each official language, will be provided to the STEP Consortium for review and approval.

4) **Sample Design**

A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample will be used. The minimum STEP sample size goal will be achieved – 2400 completed interviews is planned.

The sample selection of one target person within a selected household will be carried out by the interviewer on random basis to ensure uniformity in selection procedures. This sub-selection procedure will be verified for a sample of 15 percent of the interviewer's assignment by an interviewer supervisor.

5) **Data Collection**

The Data Collection Manager goals for quality assurance are as follows:

Interviewing Staff

- a) Hiring of qualified, experienced interviewers and interviewer supervisors,
- b) Classroom training of 5 days and a home study program for all interviewers,
- c) Regular meetings between interviewers and interviewer supervisors,
- d) Interviewer Observation Program,
- e) Sample Verification of Each Interviewer's Cases.

Response Rate

- a) A response rate goal of 70%,
- b) Survey responses will be monitored throughout the collection activity,
- c) Development and implementation of a contact strategy and a strategy to minimize non-response (described earlier in this report).

1) Data Processing

The following quality assurance procedures are planned:

- a) Test of the data capture system
- b) Verification of coders' work.
- c) Development and implementation of scoring quality control procedures to ensure inter-scorer agreement.
- d) Creation of the STEP International Data File according to the record layout specifications provided by the STEP Consortium.
- e) Data double entry (depends on contract requirements)
- f) Data Editing

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

13.0 SCHEDULE

STEP Standard

Each country will provide a schedule of activities for STEP.

Rationale

A schedule of activities is a key planning tool for the implementation of STEP. Since the schedule may vary from country to country it is important that each country provide a project schedule that reflects its expected activities and time period for their completion.

The development of a schedule of activities is also an important quality control task since it outlines the major activities that are required to implement the STEP Survey. A country's project team and the STEP Consortium will review these activities to ensure that all important activities have been included in the schedule of activities and to ensure that the expected timeline is realistic for the completion of the activities.

Report Requirement

1. Provide the schedule of activities for the STEP implementation.

The STEP survey is planned for September 2011 to November 2012. The following table provides the planned schedule of tasks.

Table 1: Schedule of activities – STEP Survey	
Activity	Time Period
A. Survey Preparation	September, 2011 – January, 2012
1. Preparation of Sample Design and Weighting Specifications	September 2011 – January, 2012
2. Prepare National Survey Design and Planning Report	November 2011 - June, 2012
3. National Household Questionnaire revision	September 2011 – March, 2012
4. Translation and adaptation of revised survey instruments	April, 2012
5. Assessment Booklet composition	November, 2011 – January, 2012
6. Hiring of Field Staff	July-August, 2012
7. Preparation of interviewer materials and training package	June-July, 2012
8. Printing of survey materials	July, 2012
9. Sample Selection	June-July, 2012
10. Preparation of interviewer assignments	July, 2012

B. Data Collection	August - December, 2012
11. Interviewer Supervisor Training	May, 2012
12. Interviewer Training	July-mid August, 2012
13. Main Survey field collection	August - December, 2012
C. Data Processing	January-February, 2013
14. Scoring	October 2012 - January, 2013
15. Data Capture	August 2012-January, 2013
16. Coding	August 2012-January, 2013
17. Weighting	January, 2013
18. Data Editing	January-February, 2013
19. File construction and delivery	March, 2013
D. Survey Evaluation	March – May 2013
20. Obtain feedback re survey procedures from staff	March – May 2013
21. Review survey procedures	April-May, 2013
22. Preparation of Main Survey Evaluation Report	May 2013

I agree with the above,	
JOHANNES KOETTL	Signature:
VICTORIA ZAKHOZHA	Signature:

14.0 BUDGET

STEP Standard

Each country will provide a budget for their STEP implementation activities.

Rationale

A budget of expenditures is a key planning tool.

Report Requirement

1. Provide the budget for the major activities for the STEP implementation. The overall budget for STEP Skills survey is USD XXX thousand, co-financed by IZA and the World Bank.

The estimated incremental expenditures for the STEP in Ukraine from the Bank side is summarized in the following table :

Budget Estimate – STEP	
Item	Estimated Expenditures *** EDITED ***
1) Project Team Salaries	
2) Enumeration	
3) Travel (e.g., international meetings)	
4) Pilot Survey Preparation	
5) Pilot Survey Collection	
6) Pilot Survey Data Processing	
7) Pilot Survey Evaluation	
8) Main Survey Preparation	
9) Main Survey Collection	
10) Main Survey Data Processing	
11) Main Survey Evaluation	
TOTAL Estimated Expenditures	

I agree with the above,

JOHANNES KOETTL

Signature:

HARTMUT LEHMANN

Signature:

VICTORIA ZAKHOZHA	Signature:
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