Employer Survey Design Planning Report

Skills Toward Employment and Productivity (STEP)

REPUBLIC OF KENYA

This Version: June 4, 2016

stepSKILLS
MEASUREMENT

Table of Contents

Introduction

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

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

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

PART 1: World Bank Country Team

Rationale for the STEP Survey

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

2. Identify the sponsoring organization

Country-specific Survey Objectives

1. Please provide a list of country-specific objectives

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

Employer Questionnaire

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

Fieldwork

Technical Standard	*Description*
3. **Advance Survey Information** Please describe briefly the initial method of approaching targeted employers.	*E.g., advance letter sent to firms, distribution of brochures presenting the Survey and its purpose, website*
4. **Respondent Incentive** If applicable, please describe the respondent incentive mechanism *The following should include information on the nature of the token, its cost, the criteria through which it will be given, monitoring/controlling procedures, and the overall cost.*	

Sample Frame and Benchmark Variable Counts

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

PART 2: Survey Firm – Survey Instruments and Fieldwork

Project Team

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

2.1.1.   Qualifications and Expertise of the Survey Institute

1.   Identify the leading survey institute

Name	Etude Economique Conseil (EEC Canada)
When was the survey institute founded?	1981
Owner	Privately held, Fares Khoury
Headquarters' address	4124 A St-Catherine West, Montreal, Quebec, Canada, H3Z 1P4
Contact information	Farès Khoury, President, fkhoury@eecgroup.com

Employer Survey Questionnaire

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
Each participating country will implement the Employer Questionnaire prescribed by the STEP Team.	**YES**		
1. Translation of the Employer Questionnaire The Employer Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Team. These guidelines include: ▪ A translation by a qualified translator ▪ The translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. ▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator ▪ If the Employer Questionnaire is administered in several languages, the above procedure will be followed for the translation of the Employer Questionnaire in each language	**YES, the questionnaire was translated into Kenyan Swahili**		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
2. Translation of all Survey Materials (with the exception of the questionnaire) All Survey Materials will be translated based on guidelines provided by the STEP Team. The Survey Materials include:		**The survey materials were not translated, as all national professionals are fluent in English, the official language and by far the single most spoken language in the country. Furthermore, all training activities were carried out in English.**	
▪ The Interviewer Manual, which will be translated by a qualified translator	**N/A**		
▪ The PowerPoint Presentations for the interviewers' training, which will be translated by a qualified translator	**N/A**		
▪ The Brochure presenting the STEP Survey, which will be translated by a qualified translator	**N/A**		
▪ If the Employer Questionnaire is administered in several languages, the Materials listed above will be translated as needed	**N/A**		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
3. Pilot Survey The Employer Questionnaire will be pre-tested as required by the STEP Team and as specified below:	**YES**		
▪ Finalized questionnaires will be tested in a pilot test of 6-10 firms	YES, *10 firms were surveyed as part of the pilot.*		
▪ *Sample*:			
- Number of firms - Small and large firms – *please specify how many of small and large firms*	*10 piloted establishments were chosen,* *5 having between 5 and 10 employees, 3 having between 11 and 20 employees and 2 having between 21 and 25 employees*		
- Various sectors – *please specify the sectors and the number of firms per sector*	*Three establishments piloted belong to the retail sector, 6 establishments to the restaurant sector and 1 establishment to the manufacturing sector*		
- Various geographical areas – *please specify the areas and the number of firms per area*	*Establishments piloted were from Nairobi*		
▪ The pilot test will be administered by the main trainer(s) for the interviewer training	*YES*		
▪ Data collected during the Pilot Survey will be entered electronically and submitted to the STEP Team for review	*YES*		
▪ Submit a 5-10 page report to the WB including recommendations for any changes in implementation or questionnaire translation, etc	*YES*		

Fieldwork Teams

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
1. Interviewer and Supervisor Hiring Plan			
▪ **Interviewers' Qualifications** Interviewers and Supervisors should at minimum be high school graduates	*17 of the 19 national staff have already worked on the STEP HH Survey and all have at least a university degree*		
▪ **Number of interviewers and Supervisors**			
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	*1 group coordinator, 2 supervisors and 16 enumerators*		
▪ **Method of payment** Interviewers' remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a piece-meal basis.	Indeed, no incentive is given for speed – but no remuneration simply for time lapsed. Remuneration is defined taking into account minimum levels of productivity.		
2. Interviewer Training Plan			
▪ Training dates	*Pre-training took place on May 19 and 20, 2016 and training, on May 24 and 25, 2016 with the presence of Dylan Johnson,*		

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
	consultant for the WB.		
▪ Fieldwork must start within 4 days of finishing training	YES, pilot fieldwork began on May 26, 2016, effective surveys began on May 31, 2016.		
▪ Location of the training Please note that the interviewers' training should take place in one single session and location	**Training took place at Mvuli Suites in Nairobi.**		
▪ Training will be based on material provided by the STEP Team and translated by the Survey Firm	**YES, though no materials translated as ALL members of the EEC Canada team of professionals are fluent in English.**		
▪ Training will consist of 2 full days of in-class training, plus at least one practice interview in a workplace and a debriefing session	*Pre-training took place on May 19 and 20, 2016 and training, on May 24 and 25, 2016 with the presence of Dylan Johnson, consultant for the WB. All members performed 2 practice interviews on CSPro.*		

▪ Trainers
  - Head Trainer(s):
    Name(s), education level, and whether they attended the "Train the Trainer" videoconference session held from Washington DC
	Head trainers:
	Richard Ibghy
	Zied Naffouti
	Nicolas Megelas		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
- Assistant Trainers: Names, education level, and whether they attended the "Train the Trainer" videoconference session held from Washington DC	Anthony Macharia Kimotho Assistant trainers: Roksana Bahramitash Cecile Fameree Lina Wedefort Atena Sadegh Salem Zarifa		
▪ Training Evaluation Report: The Survey Firm will send the STEP Team a one-page training report including the following information, within one week of the end of training: - List of trainees (names) - List of selected interviewers - List of selected supervisors	YES, and the list will be provided at the end of the survey		
▪ If the first reports from the fieldwork reveal a lack of understanding of some sections of the questionnaire, the firm will retrain all field staff on these sections	YES, AND ONLY ENUMERATORS AND SUPERVISORS THAT UNDERSTAND THE MATERIAL ARE ALLOWED TO IMPLEMENT THE SURVEY.		

Fieldwork

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
1. Data Collection			
▪ Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method.	All interviewers were trained in both PAPI & CAPI, during interviews they will have paper copies with them of the questionnaire and, if any issue occurs with the handheld device, they will use the paper version of the questionnaire		
▪ In the event an interviewer's work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone.	YES		
▪ Please indicate the methods through which the staff will be communicating during fieldwork. E.g., scheduled daily/weekly telephone calls, e-mail of supervisors	Daily, by cell phones and emails when possible. Data collected will be uploaded continuously and allow a quick turnaround in case of errors or quality issues		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
2. Fieldwork Supervision			

2.1 Regional Supervisors
• Each interviewer will report to a Regional Supervisor.
• Regional Supervisors' responsibilities include:
  - Coordinating fieldwork in the assigned region
  - Full-time work with the interviewers and on-going monitoring of interviewers' work
  - Checking non-response, activation of reserves, problems encountered, and communicating regularly with the Field Manager
  - Submitting questionnaires and fieldwork tracking forms to Headquarters
	YES		

<u>Quality control by Regional Supervisors:</u> - At least one meeting per week with each interviewer to discuss progress and/or problems. - Random spot visits during interviewers' work to observe interviews. For each interview observed, provide a 1-page evaluation report - Follow-up of non-response cases and document all relevant information - Check each accepted questionnaire for completeness and accuracy before submitting to Headquarters - Interviewer visit verification: the Supervisor will revisit 15% of each interviewer's assigned firms. (Telephone calls are permitted for up to 1/3 of the revisits). The firms to revisit will be selected randomly by the Field Manager or Headquarters.	**YES**		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
2.2 Field Manager ▪ The Field Manager is responsible for the entire fieldwork. ▪ The Field Manager's responsibilities include: - Set up the field structure and reporting structure with Regional Supervisors *Please briefly explain the field reporting structure.* - On-going monitoring of fieldwork, and reporting to Project Manager.	**YES,** Daily, by cell phones and emails when possible. Data collected will be uploaded continuously and allow a quick turnaround in case of errors or quality issues		
Quality control by Field Manager - Frequent communication with Regional Supervisors to discuss progress and problems. - Provide support to resolve any questions on questionnaires, non-response, documentation or any other problems encountered by the interviewers in the field - Random spot visits the field to observe progress, and to participate in interview visit verification - The STEP Team may also ask to attend verification revisits, and randomly choose the firms to revisit	**YES**		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
3. Activating Reserve Samples			
▪ Interviewers should make every attempt to interview all firms on their lists, if necessary repeating visits to the same company. ▪ Supervisors should provide support, and should visit firms that have refused to take part in the Survey, to try to convince them to cooperate	YES		
▪ The following steps will be followed if the firm requires replacements in order to complete the targeted number of interviews:			
i. The Survey Firm completes the original sample, making every effort to interview each firm on the list. At the end of interviewing all the originally sampled list of 500 firms, the Survey Firm will submit the list of completed firms, the data from these firms, and the questionnaires to the STEP Team.	YES		
ii. For any firm for which an interview was not completed, the survey firm must provide a complete account of the reasons, i.e., refusal, shut down, moved, could not be located, etc., as well as other information that it may have retrieved about the firm (such as number of employees, if part of larger firm, type of ownership, etc). iii. Detailed records of attempts made, and all circumstances must be kept for all non-interviews of originally selected firms.	YES		
iv. The Survey Firm will use the reserve list when replacements are needed. v. Firms must be taken in order from the list, starting with the first firm in an applicable stratum. Again, if for any firm on that list, an interview was attempted and could not be completed, all information must be recorded on a tracking form.	YES YES		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
vi. If the Survey Firm does not complete the targeted number of interviews after having gone through the original sample list and the reserve list, options will have to be discussed with the STEP Team.	YES		
vii. If the World Bank team validates the work carried out on the first two lists, it may provide a second reserve list.	YES		
viii. This last step may be repeated if necessary, until the correct number of firms is interviewed.	YES		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
4. Minimizing Non-Response Rates			
▪ PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES	*YES*		
▪ Please describe the Survey Firm's strategy to reduce non-response rates. In particular: 　i. Flexible scheduling times for the interviews 　ii. Prior contact strategy 　iii. Introduction letter from the World Bank and relevant government ministries 　iv. Incentives, if any 　v. If the interviewer is unable to gain the cooperation of a selected firm, the case will be referred to the interviewer's supervisor who will attempt to convert such cases to completed interviews.	*Enumerators were first trained to make phone calls to enterprises to ensure their buy-in. Enumerators make themselves available to work with the schedules of those they are interviewing, whether it is during weekends, evenings or holidays. An introduction letter from the WB and another by EEC is used by enumerators during field visits. No incentives are provided, as this would create unnecessary bias. If an interviewer is unable to get the buy-in of an enterprise, he/she reaches out to the supervisor and group coordinator who in turn reaches out to the country manager if still unable to convert the enterprise selected.*		
▪ Non-Response Bias Assessment 　Each participating country is responsible for assessing the bias due to non-response and reporting the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. 　(See additional information in section 0) 　Therefore, it is critically important to make every effort to minimize the non-response rate and the resulting potential bias.	*YES*		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
5. Fieldwork Monitoring by the STEP Team			
▪ **Weekly Update** - The Survey Firm will provide weekly updates to the STEP Team on fieldwork progress	At most a bi-weekly report will be provided, or less frequently if no changes		

The Weekly Updates will include:
  - The number of firms visited by firm size, sector, and geographic area
  - The number of refusals by firm size, sector, and geographic area
  - Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.
	YES		

Data Processing

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team

1. Data Capture and Verification Plan
   a. Data Entry
     ▪ Each country's STEP data file will be created according to the Variable Convention provided by the STEP Team
	YES		

▪ The Survey Firm may use it's own Data Entry Program to capture the data electronically
     ▪ The Data Entry Program must be sent to the STEP Team no later than 2 weeks before the start of fieldwork
     ▪ The Data Entry Program used by the Survey Firm must strictly conform with the Variable Convention provided by the STEP Team
	EEC Canada has developed and adapted its STEP-CAPI program to enable interviewers to code responses directly into small notebook computers or tablets as appropriate.		

▪ **Training of the Data Entry persons** They should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work	*YES*		
▪ Please provide the name of the person responsible for Data Entry and Management as well as the number of people assigned to Data Entry	ALL SURVEY STAFF FROM OUR HQ ARE REGULARLY TRAINED by Chris Clark ON DATA ENTRY REQUIREMENTS		

b. Data Capture Verification
     ▪ Data capture of the Employer Questionnaire will be entirely verified through double data entry
     ▪ Two different operators will carry out the double data entry
     ▪ The Survey Firm will indicate how any differences will be reconciled
	EEC Canada has developed and adapted its STEP-CAPI program to enable interviewers to code		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
▪ The data entry will start no longer than 5 days after the start of the fieldwork, so that information from the data entry can inform the process of the survey ▪ The country is expected to transmit the first week of data within two weeks of the start of the fieldwork	responses directly into small notebook computers or tablets as appropriate. This will not allow double data entry, though we will comply with the required double data entry of literacy scores and PAPI questionnaires.		
2. Tracking Respondents' Sample Identification Number ▪ Each Employer who completes the questionnaire should have a unique code for data entry. ▪ Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires. ▪ A field for recording the respondent's Sample Identification Number is required on all survey instruments and any pertinent supplementary material.	*YES*		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*

3. Plan for Coding of the Employer Questionnaire
▪ Coding will be undertaken by at least one Coder working at the Head Office
Please provide the name of the Head Coder and Assistant Coders if any
▪ Pre-coded response categories from the Employer Questionnaire will follow the Variable Convention provided by the STEP Team
▪ The following codebooks will be used to code education, occupation, and industry information from the Employer Questionnaire:
   - '2008 International Technical Standard Classification of Education (ISCED)' will be used to code the education variable, i.e., 'highest level of education'
   - 'International Technical Standard Industrial Classification of All Economic Activities, Third Revision' will be used to code the industry variable.
	YES, coding will be done by EEC Canada staff at HQ. The head coder will be Chris Clark, the data quality manager, and he will be assisted by Atena Sadegh and Lina Wedefort..		

4. Submission of the Employer Questionnaire data to the World Bank
▪ Each country will submit the Employer Questionnaire data to the World Bank
▪ The edited data file should be free from errors and conform to the Variable Convention
▪ The final clean data file must include:
   - one sample record for each sampled case (i.e., both initial and reserve sample)
   - a response code (e.g. complete, refusal, ineligible, other non-response, unused reserve sample) for each sampled case.
	YES		

Confidentiality

Information Required	*Description*
1. Country's Data Confidentiality Requirements The Survey Firm will advise the STEP Team of its country's confidentiality rules regarding the handling and sharing of respondent's data.	*Section 27 and 93 of the Kenya Information and Communications Act, 1998*

Technical Standard	*Agreed by the Survey Firm*
2. Steps to Ensure Data Confidentiality ▪ 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 prior request and approval by the World Bank. The data collected is completely confidential and shall not be revealed to any source by the Survey Firm. The ownership of any information and data belongs to the World Bank. ▪ All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities.	YES YES, AS PER THE TORS
▪ Each country will submit the data file to the World Bank STEP team (regional team and core team). Data release beyond the World Bank teams may not be done until 6 months after the submission of the final data files.	YES

Quality Assurance

Standard	Agreed
1. Quality Assurance ▪ Quality assurance will be addressed at all stages of the STEP Survey. Many of the steps to ensure quality are outlined in earlier sections of this document. The following sections summarize the quality assurance measures to be implemented during the STEP.	YES

2. Team Composition
▪ The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys:
  1. Name of National Project Manager
  2. Name of Senior Survey Methodologist
  3. Name of the Data Collection Manager/ Field Manager
  4. Name of the Data Processing Manager
	SEE POINT 1.2.2

3. Expert Meetings The National Project Manager is committed to attending the international meetings deemed necessary by the STEP Team. Similarly, other team members will participate in the international meetings when requested by the STEP Team.	AS PER THE TORS AND CONTRACT

4. Response Rate
  a) Survey responses will be monitored throughout the data collection activity,
  b) The development and implementation of a contact strategy and a strategy to minimize non-response (described earlier in this report) are instrumental in assuring data quality.
	YES
	YES

5. Data Processing
The following quality assurance procedures are planned:
  a) Test of the data capture system
  b) 100% verification the captured data
  c) Creation of the STEP International Data File according to the Variable Convention specifications provided by the STEP Team
  d) Data editing
	YES
	
	YES
	
	YES
	YES
	YES
	YES

Schedule

STEP ES KENYA - updated schedule																																
	2016																																
	Jan				Feb				Mar				Apr				May				Jun				Jul				Aug			
	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4
Project Inception																																
Start up meeting with WB team and work plan finalization		●																														
Work plan		●																														
Questionnaire and tools development																																
Review and finalization of the questionnaire (submitted for WB review and integration of			o	o	o	o	o	o	o	o	o	o	o	o	●																	
Translation of questionnaire															o	●																
Preparation of supervisor/enumerator training															o	●																
Development of data entry programs															o	o	●															
Establishment of logical checks and data															o	o	●															
Securing required permissions															o	●																
Sampling design																																
Consolidating list of firms			o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	o	●													
Sampling strategy (draw, replacements..)																	o	o	●													
Awareness campaign																	o	o	o	●												
Survey logistics and implementation																																
Training																			o	●												
Piloting - testing survey instrument																				●												
Questionnaire finalization																				●												
Dataset delivery																					o	o	o	o	o	o	●					
Conducting Survey																					o	o	o	o	o	o	●					
Data entry, quality control and cleaning																					o	o	o	o	o	o	●					
Final dataset delivery																											o	●				
Finalization of data entry and cleaning and final reports																																
Final report on survey																													●			
End of project																													●			

Legend	●	Target date	o	In progress

Budget

PART 3: Survey Firm – Sampling and Weighting

Target Population

Technical Standard	Definition	Approved by the Core Team and the Sampler
Target Population *Example:* The target population is all non-government enterprise workplaces in the urban regions of Kenya.	*The target population is defined as all non-government enterprises with at least 5 employees, whether formal or informal, in Nairobi, Mombasa and other cities.*	
▪ The survey unit is the Workplace, i.e., a place, such as an office or factory, where people are employed. *Note*: a firm may have several workplaces		
▪ The Survey Firm will conduct interviews in Workplaces varying in size. Please describe the criteria used to define "small" and "large" Workplaces (e.g., workforce size)	*Small enterprises have between 5 and 19 employees, medium size enterprises have between 20 and 99 employees and large enterprises have 100 and more employees.*	
▪ Sectors / Industries selected Please describe the sectors or industries the Survey will focus on		
▪ Geographic areas	*Nairobi, Mombasa and other cities*	
▪ Other features of the Target Population		
▪ Exclusions from the Target Population	*Governmental enterprises will be excluded from the target population*	

Sample Size

Technical Standard/Information Required	Definition	Approved by the Sampler? *Date*
A minimum of [300-1000] interviews must be submitted to the STEP Team.	YES, 500 interviews will be provided	
Please provide the country's sample size goal.	*500 interviews*	

Information Required	Sample Size and Assumptions	Approved by the Sampler? *Date*
Sample Size		
a. Provide the country's **final sample size goal** by sample design variable E.g. by strata, by PSU, etc <u>Minimum Sample Size:</u> [300-1000] firms	See table below	
b. Provide the country's overall **initial sample size**, including the **size of the reserve sample** by sample design variable E.g. by strata, by PSU, etc	See table below	
c. **Assumptions:** Describe the basis for the size of the reserve sample E.g. expected non-response rate	In order to ensure the sample size of interviews is met, 500 additional enterprises were drawn, as described in the table above entitled *Replacement urban establishments Kenya.*	

SAMPLE FRAME URBAN ESTABLISHMENTS KENYA

COUNTY NAME	ESTABLISHMENT SIZE				
	5 to 19	20 to 99	100 and +	SIZE N/A	Grand Total
NAIROBI	50	50	50	20	170
MOMBASA	50	50	50	15	165
OTHER	50	50	50	15	165
Grand Total	**150**	**150**	**150**	**50**	**500**

REPLACEMENT URBAN ESTABLISHMENTS KENYA

COUNTY NAME	ESTABLISHMENT SIZE				
	5 to 19	20 to 99	100 and +	SIZE N/A	Grand Total
NAIROBI	50	50	50	20	170
MOMBASA	50	50	50	15	165
OTHER	50	50	50	15	165
Grand Total	**150**	**150**	**150**	**50**	**500**

Response Rate Goal and Non-Response Bias Assessment

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Sampler?* *Date*
The response rate goal is to obtain an interview from at least 70% of the sampled firms.	We do not expect a higher non-response rate		

Information required	*Proposed Plan to Assess Non-response Bias*	*Approved by Sampler?* *Date*
Non-response Bias Assessment a) Each participating country will carry out an assessment of the bias due to non-response and report the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. b) Results from countries with response rates below 50% will not be published unless the country can provide the STEP Team with evidence that the potential bias introduced by the low response rates is unlikely to be greater than the bias associated with response rates above 70%.	*YES* *YES*	

Information required	*Proposed Plan to Assess Non-response Bias*	*Approved by Sampler?* *Date*

c) If a country attains less than a 50% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the STEP Team, the country's survey results may be included in the STEP international survey publications with asterisks and footnotes as appropriate.
The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include:
   - A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A possible non-response follow-up procedure is to ask non-respondents a brief set of questions related to background questionnaire items.
   - A comparison of sample counts of key respondent variables to external totals from a reliable source;
   - A comparison of respondents and non-respondents on auxiliary Sample Frame variables;
   - A comparison of response rates by industry subgroup;
   - A comparison of estimates before and after weighting adjustments;
   - A comparison of "late" or "hard-to-contact" or "non-cooperative" respondents to "early" or "easy-to-contact" or "cooperative" respondents;
   - Calculation of the range of potential bias.
	YES	

Sample Frame

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

Information Required	*Information Provided (Type, Date, Source)*	*Approved by Sampler?* *Date*
1. Frame type The Sample Frame may be a list of workplaces from the STEP Household Survey or another firm registry.	*The Sample Frame used is a list of workplaces provided by the National Statistics Office of Kenya, KNBS.*	
2. If the Sample Frame isn't provided by the STEP Household Survey, please detail the frame fully, including:		
a) Source of the frame E.g., 2010 Firm Registry	2010 Firm Registry given by KNBS with periodic updates	
b) Definition of survey units of the frame for each stage of sampling	The survey units have been divided according to the following strata **SAMPLE FRAME URBAN ESTABLISHMENTS KENYA** All establishments with less than 5 employees and governmental organizations were removed from the initial frame.	
c) Data items on the frame for each stage of sampling E.g., name, address, firm size, etc.	Where available, the frame contains information on establishment name, activity sector, description of activities, address, phone number(s), name and position of contact person, number of employees, estimated turnover	
d) Identify the variables to be used for stratification if applicable	Physical location and number of employees	
e) Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., number of firms by size category, number of firms by industry, etc.		
f) Quality assurance procedures	Various calls were performed by the	

Table under (b):

COUNTY NAME	ESTABLISHMENT SIZE			
	5 to 19	20 to 99	100 and +	SIZE N/A
NAIROBI	1	2	3	4
MOMBASA	5	6	7	8
OTHER	9	10	11	12

Table under (e):

COUNTY NAME	ESTABLISHMENT SIZE				
	5 to 19	20 to 99	100 and +	SIZE N/A	Grand Total
NAIROBI	8,461	1,875	591	722	11,649
MOMBASA	2,379	640	164	217	3,400
OTHER	3,857	913	217	294	5,281
Grand Total	14,697	3,428	972	1,233	20,330

i.e., assessment of quality of the frame information i. Provide any information regarding known frame issues, e.g., under-coverage of firms, up-to-date, duplication, etc. ii. Explain any steps taken to ensure that the frame is complete and up-to-date.	team of local professionals and the country manager to establishments in the frame in order to ensure the quality of the information given. It was deemed accurate in the overwhelming majority of cases.	

Sample Design

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Sampler? Date

1. **If the country opts for the Sample Frame provided by the STEP Household Survey**
▪ The World Bank will provide a list of sampled firms to the survey organization. The sampled firms will have been randomly chosen, with a probability proportional to the number of employees in the firm, from the list of all firms named as workplaces by individuals in the STEP Household Survey.
▪ A separate list of reserve firms will be provided along with the list of initially sampled firms. The number of reserves will amount to at least 100% of the number of firms on the original list.
▪ These lists will contain information on:
  - the name,
  - address or approximate location,
  - phone number,
  - size,
  - and activity (industry or sector) of the firm.
▪ No other list should be used to include firms in the sample. It will be the responsibility of the Survey Firm to contact the employers on the list and persuade them to provide information for the project.
▪ Prior to the fieldwork, it would be useful if the survey firm could obtain any firm registries or other comprehensive databases on firms, which are commonly compiled by National Statistical Offices and other government agencies (and which in many countries are publicly available and frequently obtainable). These may help to facilitate contacts with the firms.
	N/A		

Technical Standard	Agreed by the Survey Firm	*Deviation Requested from the Technical Standard*	*Approved by the Sampler? Date*
2. If the country opts for another Sample Frame *Preferred Sample Design* <u>First stage</u>: Firms will be selected with probability proportional to size from the Sample Frame. The preferred measure of size is the number of Enterprises in the following employee size categories: Size Category / Number of Employees 1 / 1 to 10 2 / 11 to 50 3 / 51 or more If a firm has only one workplace then no further sampling is required. <u>Second stage</u>: A second stage of sampling is necessary for firms that have more than one workplace location, e.g., chain location or branch location. For such firms, one or more workplaces must be randomly selected. For each selected firm with more than one workplace, the suggested sampling approach is to select x% of the establishment workplaces, where x% is equivalent to the proportion of firms that are selected in the registry. For example, if a country's sample frame includes 20,000 firms and the sample goal is 500 complete interviews then $$x\% = \frac{500}{20000} = 2.5\%$$ In this case, for each selected firm that has more than one workplace location, 2.5% of the workplace locations would be randomly selected – one workplace location would be selected if 2.5% of the number of workplace locations is less than one.	Establishments were selected according to number of employees, as described in the following table. **SAMPLE FRAME URBAN ESTABLISHMENTS KENYA** 	COUNTY NAME	5 to 19	20 to 99	100 and +	SIZE N/A	Grand Total
---	---	---	---	---	---
NAIROBI	50	50	50	20	170
MOMBASA	50	50	50	15	165
OTHER	50	50	50	15	165
Grand Total	**150**	**150**	**150**	**50**	**500**			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Sampler? Date
Reserve Sample In addition to the initial sample, a reserve sample of at least 100% extra firms must be selected to allow for a 50% non-response rate. For example, if a country's sample goal is 500 complete interviews then a reserve sample of 500 firms should also be selected to allow for up to 50% non-response cases. Thus the total selected sample would be 1000 firms. **Note**: *If a country expects less than a 50% response rate then the size of the selected sample should be adjusted to allow for the expected response rate. For example, if a country expects a 40% response rate then with a sample goal of 500 complete interviews the total selected sample including the reserve sample would be calculated as follows,* $$Total\ Sample = \frac{Sample\ Goal}{Expected\ \mathrm{Re}sponse\ Rate} = \frac{500}{0.4} = 1250$$ In this example, the total selected sample of 1,250 includes an initial sample of 500 and a reserve sample of 750. *Please describe the country's sampling plan.*	A reserve sample of 100% extra establishments was selected according to the following table. **REPLACEMENT URBAN ESTABLISHMENTS KENYA** 	COUNTY NAME	ESTABLISHMENT SIZE				
---	---	---	---	---	---
	5 to 19	20 to 99	100 and +	SIZE N/A	Grand Total
NAIROBI	50	50	50	20	170
MOMBASA	50	50	50	15	165
OTHER	50	50	50	15	165
Grand Total	**150**	**150**	**150**	**50**	**500**			

Weighting

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Sampler?* *Date*

1. Weighting Procedures
   a. The weighting of each country's clean data file will be carried out by the STEP Team.
   b. The weighting of the respondent records will be consistent with the Kenya probability sample design.
   c. Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file.
   d. The following weights will comprise part of each respondent record:
      - Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage;
      - Population weight - non-response adjusted sample design weight;
      - Benchmark weight (applicable if there are more recent known population totals or there are more reliable known population totals from a source other than the Sample Frame) - the weight resulting from the adjustment of the survey results to known population totals.
	YES
	
	YES
	
	YES
	
	YES		

PART 4: Project Implementation Report

This section will be filled out by the Survey Firm **after fieldwork**. The STEP Consortium will share an outline with contents and details after receiving a complete version of parts 1 to 3.

Appendix

Appendix 1. Occupation Classification

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

3	**Technicians and associate professionals**
	Science and engineering associate professionals, such as engineering technicians, electrical engineering technicians, mining and metallurgical technicians, power plant operators, incinerator operator, mining supervisors, construction supervisors, draughts persons
	Agricultural technicians, Forestry technicians
	Ship and aircraft controllers and technicians, such as ships' engineers, deck officers, ship pilots, air traffic controllers, aircraft pilots
	Health associate professionals such as medical and dental technicians, laboratory technicians, nursing associate professionals, veterinary technicians and assistants, community health workers, ambulance workers
	Business and administration associate professionals, such as finance dealers and brokers, credit and loans officers, insurance representatives, sales and purchasing agents, real estate agents and property managers
	Administrative and specialized secretaries such as office supervisors, legal secretaries, medical secretaries
	Legal, social, cultural and related associate professionals, religious associate professionals, athletes, sports coaches, photographers, decorators, library and museum technicians, chefs
	Information and communications technicians, such as user support technicians, web technicians, broadcasting technicians.
4	**Clerical support workers**
	Office clerks, general secretaries, customer service clerks, bank tellers and clerks, debt-collectors
	Client information workers, such as travel consultants and clerks, telephone operators, receptionists,
	Travel consultants and clerks
	Data entry clerks, data entry operators
	Accounting and bookkeeping clerks, payroll clerks, stock clerks, mail carries, filing clerks
5	**Service workers**
	Travel attendants, conductors and guides
	Call center operators
	Cooks, waiters, bartenders
	Hairdressers, beauticians and related workers
	Building and housekeeping supervisors, building caretakers
	Domestic housekeepers, Cleaning and housekeeping supervisors in offices, hotels and other establishments
	Fortune tellers, undertakers, pet groomers, animal care workers, driving instructors
	Personal care health workers, health care assistants, child care workers, teachers' aides
	Firefighters, police officers, prison guards, security guards

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

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