

**National Survey Design Planning Report**  
**Skills Toward Employment and Productivity (STEP)**  
*Partial Assessment Version*

**SRI LANKA**

**May 8, 2012**

**EDITED VERSION**



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**STEP Survey**

## INSTRUCTIONS TO COMPLETE THE NSDPR

Grey Boxes	<p>The grey boxes will be used for</p> <ul style="list-style-type: none"> <li>(A) Background information for the section</li> <li>(B) Outline of the required information</li> <li>(C) Agreed standards as required by the Terms Of Reference (TOR)</li> </ul> <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 ‘&lt;’ and ‘&gt;’ characters (e.g. &lt;Country&gt;)</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><b>FIRMS/AGENCIES SHOULD ADJUST THESE SECTIONS BASED ON THE COUNTRY’S EXPERIENCE.</b></p>
Orange Boxes	<p><b>TASK TEAM LEADERS and PROJECT MANAGERS</b> – 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 and Project Managers are required to sign in the appropriate boxes under each section.</p>

	<p>Please note that this is an extra document submitted in addition to the technical and financial proposals submitted on August 18<sup>th</sup> 2011, for project documentation purposes. The NSDPR was not included in the TOR or any other document at the proposal stages and came to the discussion table during the ETS video training conducted from September 19-22nd.</p> <p>After signing the contract, during the implementation of the assignment and especially during the Washington DC training (Nov 26<sup>th</sup> – Dec 9<sup>th</sup>) the technical standards were presented, along with additional documents and guidelines (December 23<sup>rd</sup> sampling and field procedures document etc). However, we would like to bring to your kind consideration, that though we agreed in principle to those standards and guidelines which add value and quality to the study, they require extra involvement from various team members which has a direct implication for resources, time and cost. Once this draft document is discussed and agreed upon, Nielsen will be in a position to submit the respective extra resource requirements and both parties can discuss and finalize it.</p>
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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.

**1. Skills development is an important component of national development strategies in both developed and developing nations.** A skilled and readily trainable labor force is critical for participating in the global economy. An effective skills development system contributes to the (i) diversification of the economy; (ii) improving labor productivity and competitiveness; (iii) providing the flexibility needed to mitigate short terms risks associated with the vulnerability of the economy, and (iv) poverty reduction and development of key life skills especially for unskilled workers. Therefore, policies related to education, skills development and labor markets are often considered important aspects of the economic policies in many countries. Skills development is also an important aspect of Sri Lanka's education and training development strategy as outlined in several national development programs.

**2. Sri Lanka provides widespread access to primary and secondary education, and enjoys a high level of human development for a low income country.** As a result of a policy of free education, about 98 percent of the 5-14 years age group was enrolled in school in 2006; and the completion rate in basic education (grades 1-9) was 86 percent in 2006 with gender parity. Despite such impressive results in providing access to primary and secondary education, Sri Lanka faces serious deficiencies in delivery of both general and tertiary education, which is affecting development of an effective TVET sector. Quality of education is a central challenge as current achievement levels are modest. For example, in basic education, a mere one-third of primary school children achieve mastery in language and mathematics skills. In tertiary education, both the relevance of existing programs and employability of graduates are limited—a relatively small number of students are enrolled in nationally defined priority programs and many graduates are idle for a long time between graduation and their first jobs.<sup>1</sup>

**3. Additionally, Sri Lanka's growth and competitiveness are constrained by the low skills levels of its population.** A range of surveys shows that levels of labor productivity are low, the

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<sup>1</sup> See, for example, World Bank, 2005; 2009; Vodopivec and Withanachchi, 2010

supply of skilled labor remains inadequate, and the skills gap seems to be widening especially in high-skills fields<sup>2</sup> which raise questions about the flexibility and responsiveness of the skills development system to the changing needs of the labor market. Furthermore, unskilled workers continue to represent a large share of the labor force, and the unskilled face difficult school-to-work transitions and high unemployment rates. High unemployment rates among youth and their low skills levels are issues of critical policy concern for the Government of Sri Lanka (GOSL) (Chandrasiri, 2010).

**4. Like many low and middle income countries, Sri Lanka is struggling to improve the supply of skilled labor** as it makes choices between various policy options available such as the pace of expansion of enrollments in secondary, TVET, and tertiary education; about the balance between general and technical/vocational curricula; and about the core skills that workers will require both to function effectively in the economy and to take advantage of new opportunities in the labor market. While Sri Lanka has made considerable progress putting in place a national skills development framework, the knowledge base on the TEVT sector, the implementation of this skills framework in the operations of different TVET providers both public and private, and their internal and external effectiveness remains limited, with no major reviews of this sector in recent times. The proposed study, while recognizing the importance of both general and university education in skills development, will focus on TVET. Its goal is to provide analytical inputs to support the GOSL efforts to improve Sri Lanka's workforce skills, through analysis of the constraints and opportunities for re-orienting implementation of the TVET system to better meet medium-term labor market skill needs and support growth both in the formal and informal sectors of the economy.

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2 See, for example, Association of Canadian Community Colleges, 2004; World Bank, 2005; 2007. Chandrasiri, 2010; Vodopivec and Withananchchi, 2010.

## 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**

The Nielsen Company Lanka ( Pvt) Ltd ( Vendor No. 54858) identified and contracted under contract number 7160389 on September 14<sup>th</sup>, 2011 as the survey institute for this study.

The Nielsen team has been working with various World Bank teams for the last 15 years. The following surveys are household surveys undertaken on behalf of The World Bank.

1. Sri Lanka Investment Climate Survey, 2003 (contract number 7125921)  
<http://www.worldbank.lk/WBSITE/EXTERNAL/COUNTRIES/SOUTHASIAEXT/SRI LANKAEXTN/0,,contentMDK:20569317~isCURL:Y~menuPK:287057~pagePK:1497618~piPK:217854~theSitePK:233047,00.html>
2. Aging Population, Retirement Planning and School to Work Transition Studies, 2005/6 ( Mr. Milan Vodopivec)

2.1 Aging Population in Sri Lanka, 2005/6



<http://www.worldbank.lk/WBSITE/EXTERNAL/COUNTRIES/SOUTHASIAEXT/SRILANKAEXTN/0,,contentMDK:21893941~pagePK:141137~piPK:141127~theSitePK:233047,00.html>

## 2.2 Retirement Planning, 2006

## 2.3 School to Work Transition, 2006

<http://siteresources.worldbank.org/INTSRILANKA/Resources/schooltowork.pdf>

3. Sri Lanka Micro-enterprise Survey, 2005-8, 3 years Longitudinal Survey (7143590)
  - The gender based results, BREAD working paper no 157.  
<http://www.cid.harvard.edu/bread/abstracts/157.htm>
  - The relationship between mental health recovery and economic recover, Journal Social Science and Medicine, vol 66, issue 3 (February 2008). <http://www.elsevier.com/copyright>
  - The Returns to Capital: WPS4230.  
([http://econ.worldbank.org/external/default/main?pagePK=64165259&theSitePK=469372&piPK=64165421&menuPK=64166093&entityID=000016406\\_20070504134355](http://econ.worldbank.org/external/default/main?pagePK=64165259&theSitePK=469372&piPK=64165421&menuPK=64166093&entityID=000016406_20070504134355))
4. Sri Lanka Wage Workers, Self Employed and SME Enterprises Survey-2008 – 9, three years Longitudinal Survey (Contract number 7145168)
5. Impact Evaluation Study on Selected Water Supply and Sanitation Projects in Sri Lanka- RWSSP, The World Bank, 1996 (Report No 18183.)  
[http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/1999/08/15/000094946\\_99031910505069/Rendered/PDF/multi\\_page.pdf](http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/1999/08/15/000094946_99031910505069/Rendered/PDF/multi_page.pdf)
6. Study on the Perceptions and Attitudes towards Privatization, 2000

In all the above studies The Nielsen company was involved in:

- Research designing and methodology
- Designing and testing household questionnaires, Household questionnaires
- Sampling process with the Department of Census and Statistics (DCS) and other experts
- Designing and implementing complete listing operations
- Conducting field interviews, supervision and quality controls for the surveys
- Scrutiny, coding, data entry, cleaning and finalizing the databases

Details for each of the above studies are presented in the consultant's experience in section B, studies no 1-6.

In addition to the above seven studies directly undertaken on behalf of The World Bank, the following studies were undertaken for various other clients, which were World Bank funded projects. These studies were either indirectly sponsored/funded by the World Bank. Some of the projects are as follows:

7. Moving out of Poverty, Global Development Network & The World Bank, 2005  
[http://siteresources.worldbank.org/INTMOVOUTPOV/Resources/2104215-1148063363276/011505\\_agenda.pdf](http://siteresources.worldbank.org/INTMOVOUTPOV/Resources/2104215-1148063363276/011505_agenda.pdf)
8. Survey of electricity End use in the Household and Commercial Sector, TheWorld Bank funded project, 1999
9. Service Quality Standard of Provided by Fixed Access Telephone Operators to households and enterprises, 1999
10. Renewable Energy for Rural Economic Development Project -Statistical Baseline Survey, The World Bank/RERED, 2003

In addition to the World Bank funded projects Nielsen has been involved with many other important household studies, a few of those studies are:

11. Impact Assessment of Micro Finance in Sri Lanka 2010 - GTZ Pro MiS
12. Ascertain Socio economic Standards of (Differently abled) Disabled People in Sri Lanka, – Ministry of Social Welfare, 2003
13. Transitional Recovery Program, Baseline Survey, Data Analysis, 2011, UNDP
14. Knowledge Attitude and Practice Survey 2005, UNDP
15. Study on improving future aid policy and quality of sustainable interventions in the WSS sector in the Kandy district, DIDC project, 1999

All the studies mentioned above were handled by Jinendra Kothalawala (team leader/national project manager) as proposed in this study and the other team members have also been involved in many studies. In addition to those studies, this team has been involved in many other policy studies for various clients.

These research projects conducted previously, will provide sufficient evidence on Nielsen's substantive capability to provide its' services.

1. 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.

**Indicate whether or not the key team members will work full-time on STEP.**

A project team has been established by the Nielsen Company to carry out the STEP in Sri Lanka. This section identifies the key team members of the project, it outlines their qualifications and experience, and summarizes the responsibilities of each team member. Note that all key team members are permanent employees of The Nielsen Company and are working for this project for the number of days as estimated in the technical and financial proposals.

**Team Leader/Survey Project Manager: Jinendra Kothalawala**

Mr. Jinendra Kothalawala obtained his first degree in Bachelor of Science in Business Administration with specialization in Business Economics in 1997 and obtained the Master of Science in Management in 2008 from the University of Sri Jayewardenepura.

He has been working as a Social and Economic researcher for last 15 years and gained knowledge, experience and skills to excel in various policy researches in Sri Lanka. Most of the research projects he led in the past were on behalf of development agencies, donor agencies, multilateral and bilateral agencies, and government agencies. He has published two Economic text books in Local language.

School to work transition, retirement planning, aging population, self employed and wage workers behavior, disability, poverty, local governance, public transport, water supply and sanitation, ICT, public utilities and micro finance etc. are some of the sectors he was involved. Household and SME's behavior, investment climate, economic governance, global financial crises etc. are some examples of enterprises surveys he has been involved. He also has exposure in some of the countries in South Asian region.

With over 15 years of experience as a Social and Economic Researcher, he has coordinated and assisted household surveys mentioned in the previous section on behalf of The World Bank and many other surveys for other clients. For The World Bank he has involved with 21 projects. Jinendra has been involved with all studies mentioned above, which demonstrate his experience and proven track record in the field. He possesses a sound understanding of both theoretical and practical issues of Sri Lanka having coordinated and assisted in a number of household surveys. These experiences are discussed in detail in the employment record experience section in his CV.

He has demonstrated an ability to lead the survey team with many international and national clients ranging from multilateral organization such as The World Bank, IFC, UN organizations (UNDP, ILO), German Society for Technical Cooperation (GTZ/GiZ), The Asia Foundation

and Government organizations like Telecommunication Regulatory Commission of Sri Lanka, Ceylon Electricity Board, Ministry of Social Welfare, Sri Lanka Tourism Promotion Bureau, to organizations such as the Embassy of the USA and Embassy of Italy in Sri Lanka and Maldives etc.

In some studies Jinendra has been identified as the Private Sector Capacity Building member and was involved in sampling process for key World Bank projects with the Department of Census and Statistics and even World Bank has given Strata software to Nielsen to work with the World Bank surveys and introduced different organization to work closely. Eg University of Colombo – Faculty of Education has been working with School to work transition project to measure the English language skills. Jinendra was one of the peer reviewers for the proposed project to build the durables (land, building etc.) capacity in the Sri Lankan national statistical system, other actors included the Department of Census and Statistics and other government agencies, research institutes and universities as well as private sector users and data generators.

The following table presents a few selected household survey experiences of the team members

	Jinendra	Prassana	Gaminie	Sharminie	Melina	Hiruni
Opinion poll to understand national, regional and local support towards Sri Lanka hosting the 2018 Commonwealth games 2011	✓	✓	✓	✓	✓	
A study to understand the perceptions and values of the citizens with regard to leadership 2011	✓	✓	✓	✓	✓	✓
A study to ascertain the post war public perception of the Sri Lankan people 2010	✓	✓	✓	✓		
A study to ascertain the reasons for repossession of solar home systems 2009	✓	✓	✓	✓		
Sri Lanka Rural Investment Climate Survey 2003	✓	✓	✓			
Elderly Survey In Sri Lanka-2005/6	✓	✓	✓			
School to work transition and Survey In Sri Lanka 2006						
Sri Lanka Micro-enterprise Survey 2005-7	✓	✓	✓	✓		
Sri Lanka Wage Workers, Self Employed, Small and Medium enterprise Survey 2007/8	✓	✓	✓	✓		
Impact Evaluation Study on Selected Water Supply and sanitation Projects in Sri Lanka 1997	✓					
Research Study on the Perceptions and Attitudes Towards Privatization 2000	✓	✓				
Moving Out of Poverty in Conflict Affected areas Understanding Freedom, Democracy and	✓	✓				

Growth from the Bottom Up 2006						
Survey of Electricity End Use in the Domestic and Commercial Sectors of Sri Lanka 1999	✓					
Renewable Energy for Rural Economic Development Project -Statistical Baseline Survey 2003	✓	✓				
Impact of Microfinance Services on Clients of Microfinance Institutions 2010	✓	✓	✓	✓		
A Research study to ascertain socio economic standards of disabled people who are 18 years above living at home (not residential care)2003	✓	✓				
Transitional Recovery Program, Baseline Survey, Data Analysis 2011	✓	✓	✓		✓	
Knowledge, Attitude and Practice Survey 2005	✓	✓	✓			
Study on improving future aid policy and quality of sustainable interventions in the WSS sector in Kandy district DIDC project	✓					

#### **Field Head/Data Collection Manager: Prasanna Gunathilaka**

His expertise lies in conducting surveys, attributed to more than 10 years of experience in planning, coordinating and executing projects in the field. More than 10 core field members are working under him. Prasanna has a B.A. (Bachelor of Arts) degree from the University of Colombo in 1996 and has studied Economics as a key subject. All the projects mentioned in the previous sections which were implemented after 2003 were handled by Prasanna.

#### **Field Executives:**

Gaminie Kumaranayaka , Firdaus Muhamud will be involved in this project as Field Executives. Gaminie has been working for most of the projects implemented in the last 10 years. Gaminie has a Bachelor of Commerce B.Com (Special) Degree from the University of Kelaniya, in 2004 with Economics being a major subject for the degree. Both of them come under Prasanna's leadership.

Muhamud will be responsible in supporting the study in the Northern and Eastern provinces and Estate sector in the Tamil Language.

#### **Data Manager and Analyst: Sharmini Gamage**

She has a statistical background and has experience in data analysis in several large scale surveys. She has been involved in data analysis in seven studies and other social studies mentioned earlier under the team leader. She has a B.Sc (Special) degree in Statistics from the University of Sri Jayewardenepura, completed in 2005.

**Melina Dilani Jaimon**

Melina is a junior social researcher and recently joined Nielsen. She has a BA (Hons). Sociology degree from the University of Colombo in 2009 and an MSc Cross-cultural Psychology from Brunel University, London completed in 2010. She will be helping Jinendra on the translations, pre test, training and project coordination activities. For this study Melina involved in pre test, qualitative component and ETS training etc.

**Hiruni Ratnayaka**

Hiruni is a junior researcher and joined Nielsen from a research agency. She has a BBA Business Administration degree from the University of Colombo in 2009. She will be contributing to the translations, pre test, training and project coordination activities with the other members in the team. For this study Melina involved in pre test, qualitative component and ETS training etc.

**2. Explain any expected deviations from the STEP Technical Standards.**

A language expert standard was not specified in the TOR. However we proposed to use two independent translators and survey experience two persons suitable for reconciliation purposes.

**Sinhala Translation**

The Sinhala translations will be done by two internal translators and a third translator will reconcile the two translations. Project Manager, Jinendra Kothalawala will be involved in reconciliation stage since he has experience in a number of similar studies, he is familiar with the ground situation among the final respondents in different socio economic backgrounds and has been involved in various households surveys.

**Tamil Translation**

Translating into Tamil is far more complex than Sinhala since the language used by different population segments varies. For example there are many differences in dialect between the Colombo Tamil speaking business community and the Estate sector/ Eastern Tamil community and the Jaffna community. This again is made more complex considering the Muslim business community, who also use the Tamil language.

The Tamil translation will be done by two translators as specified in the TOR and reconciled by the regular Nielsen Tamil translating Mr T. Thanapalasingham (an expert who is the retired deputy director of the Department of Census and Statistics). He is of Tamil descent by birth and before retiring, after completing 35 years of service, he had conducted various studies in the Northern and Eastern provinces which were basically conducted in the Tamil language.

I agree with the above,	
HALIL DUNDAR	Signature:
JINENDRA KOTHALAWALA	Signature:

## 2.2 Project Structure

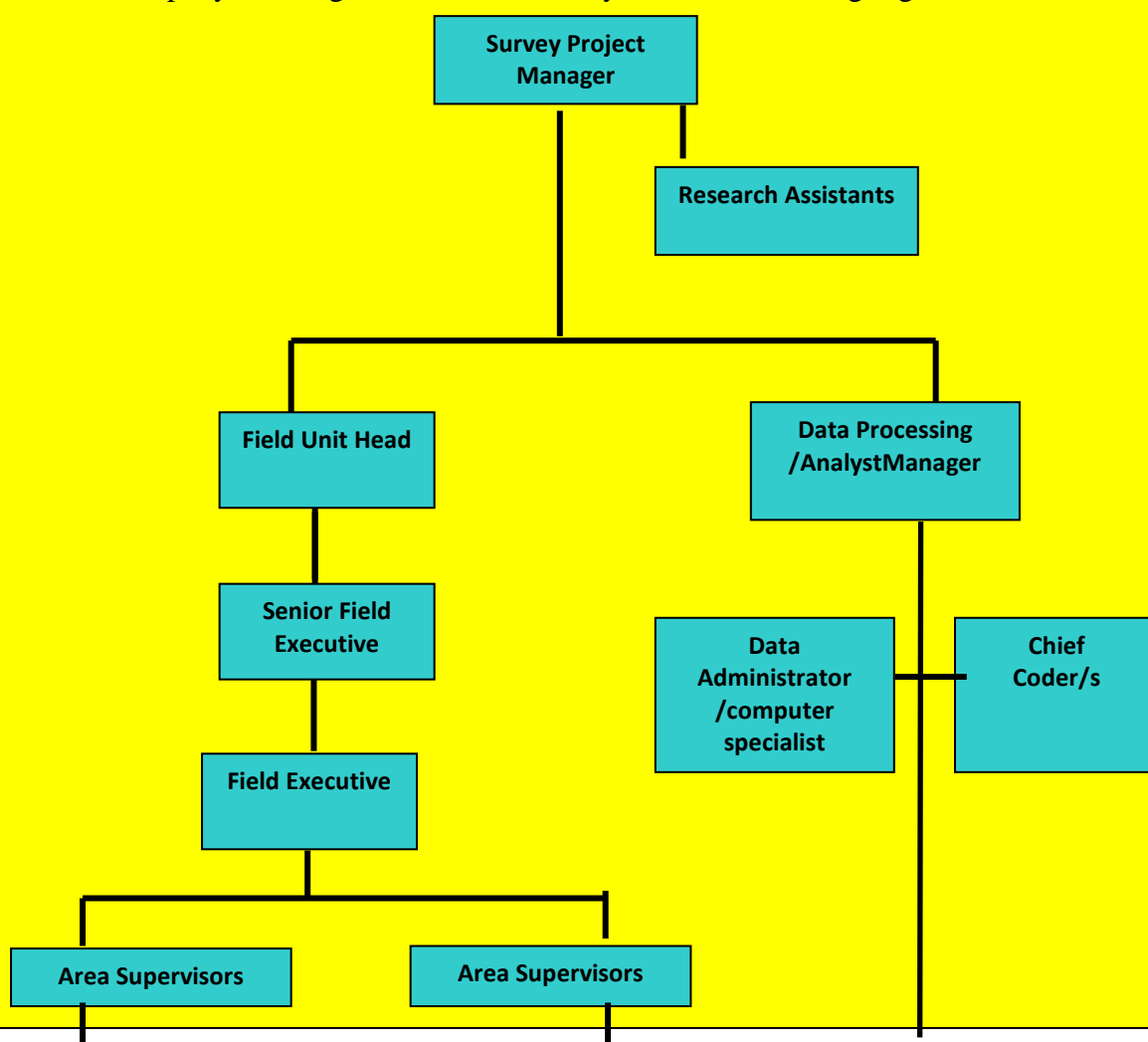
### Report Requirement

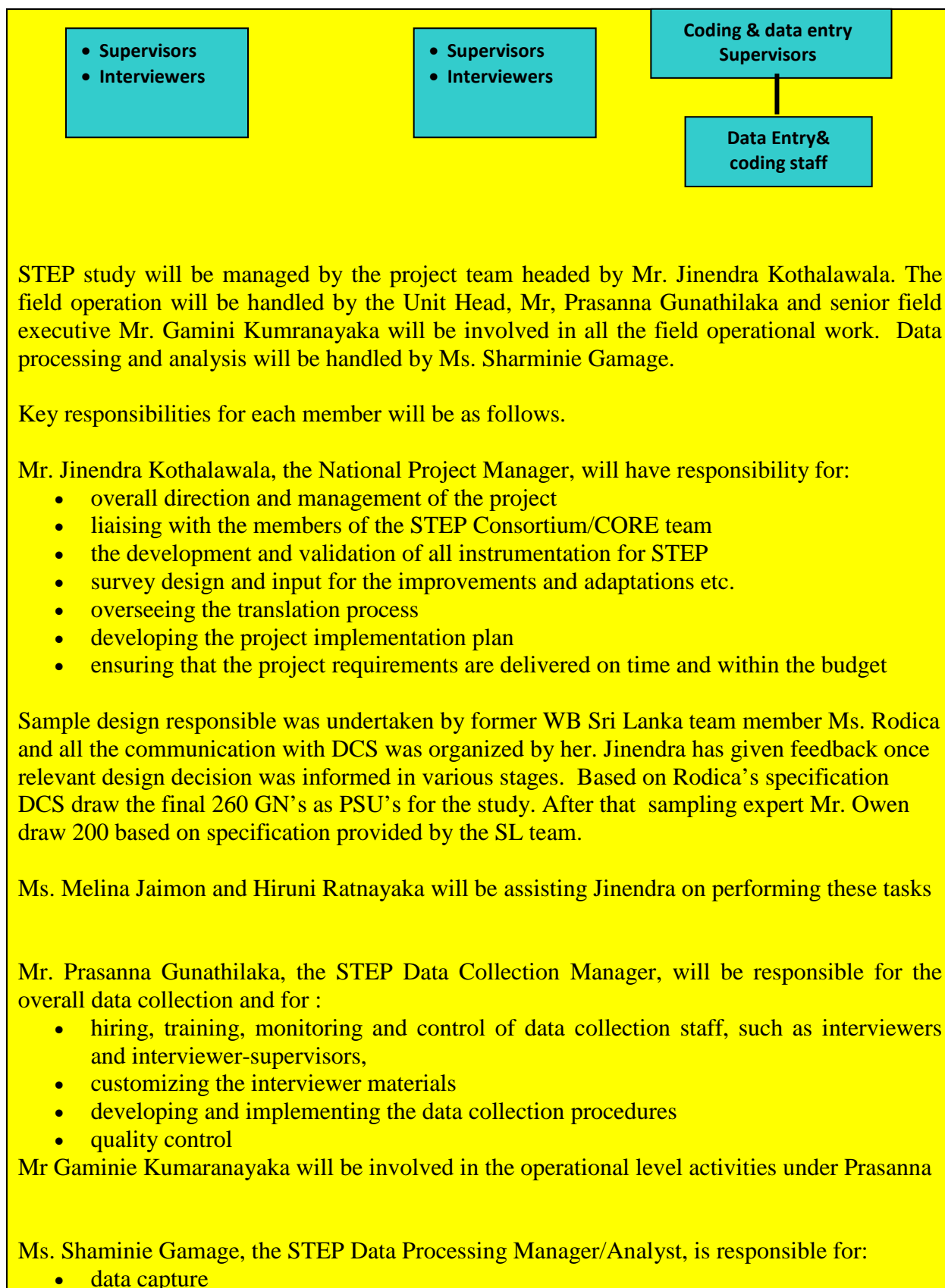
1. Identify the sponsoring organization

The survey will take place under the umbrella of the Ministry of Youth Affairs and Skills Development.

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

The Nielsen Company will organize the STEP study as in the following organizational chart







- coding
- editing
- file creation
- Weighting factor calculation with the guidelines by the core team
- Pre-selected descriptive statistics of survey results

**I agree with the above,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**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 cognitive, 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 cognitive, 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.

**The Government recognizes the risks of having an inadequately prepared workforce and has taken steps to improve the quality and relevance of the skills development sector.**

The Government has drafted the *National Education Policy*, focusing on Higher Education and Technical and Vocational Education. On the basis of this Policy document, the government plans to prepare a broad skills development strategy, one that incorporates post-basic education and training within a skills development system that can flexibly respond to the needs and demands of the labor market, and that is cost effective and sustainable. Skills development reforms, some of which are stated in the MC, include the following skills-related objectives:

- ***Improving the quality and relevance of TVET programs*** - introduction of National Skill Standards based on competencies and competency-based assessment; registration of all vocational training institutions and accreditation and auditing of courses/programs; strengthening labor market relevance through involvement of, and partnerships with employers;
- ***Improving operational efficiency of TVET institutions*** - recruitment and retention of quality staff, providing opportunities for staff development, establishing links with local and foreign institutions, introduction of a quality management system, increasing the number of centers for institutional and apprenticeship-based training,

and encouraging the participation of the private sector;

- ***Improving quality and opportunities for upward career path*** – implementation of the NVQF; competency based assessment and recognition of prior learning (RPL); upgrading nine training institutes in each province into Colleges of Technology and expansion of the University of Vocational Training (UNIVOTEC).

**Achieving these objectives could yield positive benefits to Sri Lanka's youth and more broadly to the overall economy and the country's poverty reduction efforts.** Yet, these objectives may be difficult to achieve for several reasons. First, policymakers have been constrained by their paradigm of reform in which the prevailing view, manifested in the MC, can be characterized by the following general points, *inter alia*: (i) the principal way to increase enrollment, participation, and equity is to expand the supply of TVET (e.g., buildings, teaching staff); and (ii) supply-side education policies can solve social problems (e.g., vocational education needs to be expanded because it will reduce youth unemployment).<sup>3</sup> The premises underlying these approaches, and their consequences for equity, efficiency and effectiveness of the current TVET system have not been addressed based on a thorough analysis of the existing system and policy options, as well as international experience.

Second, there has not been a comprehensive analysis of the skills development system. Analysis and further development of the skills development system based on applied research and consensus building centered around a realistic financing plan is essential to better understand the main sectoral issues and to design and transform the current complex TVET sector into a more effective and efficient one.

Third, in devising new policies and in implementing TVET reforms, it will be important to develop a broad, consultative process to engage stakeholders and beneficiaries, and the private sector. The Government has drafted the National Education Policy through a broad and consultative process and it is expected that this Policy will be authorized in the coming months. However, a comprehensive plan to implement this Policy, on the basis of a comprehensive sector review and an assessment of past implementation of various reforms and initiatives introduced during the past 5-6 years, remains to be prepared.

## 2. Provide any relevant background and supporting rationale for the 'country-specific' objectives

The TVET sector consists of public and private sector training institutions and non-governmental organizations offering training courses. In 2009, there were 672 training institutions registered with the TVEC, comprising 257 institutions in the public sector, 336 in the private sector and 79 in the NGO sector.<sup>4</sup> The total number of students in the public sector increased from 67,612 to 93,322 between 2004 and 2008. In addition, a sizable number of private and NGO TVET institutions operate in the market without registering with the TEVC. Private institutions operate on a fee basis, and the majority of them offering courses on information technology. Accurate statistics are not available about the number and courses of

<sup>3</sup> For example, the high youth unemployment rate led the government to consider TVET as an important aspect of human resource development to reduce youth unemployment since early 1970s (Chandrasiri, 2010).

<sup>4</sup> TVEC News, March 2010.

private and NGO private institutions.

Recognizing the role of skills development in economic and social development, The GOSL has implemented a series of reforms over the past five years to improve the quality and relevance of the skills development system with support from the ADB-financed Technical Education Development Project. The reform program included, *inter alia*, development and implementation of the National Vocational Qualifications (NVQ) framework; setting up of Colleges of Technology; establishment of the University of Vocational Technology; and the piloting of initiatives in selected institutions (e.g., establishment of an industry liaison office to coordinate linkages with the industry, fee-based courses for private sector firms, practical training in industry, involving the private sector in curriculum development, standards setting and training delivery, and generating revenues from sales of goods and services, and so forth).

These reforms and initiatives have contributed to the improvement of the quality and relevance of TVET programs, increased demand for TVET, established stronger linkages with industry and the private sector, and led to improved graduation and employment rates of TVET trainees. While the direction and scope of these reforms to the TVET system are promising, the empirical evidence to support the desired-for outcomes - higher quality training, improved relevance of training supplied to skills demanded in the labor market, better placement rates etc - is not yet available to judge just how effective these reforms and initiatives have been. A more careful, evidence-based review of the different initiatives will be needed to identify what works (or does not work) and why, before taking these reforms and pilot initiatives to scale across the country. Furthermore, available reports suggest that Sri Lanka's TVET system faces a number of additional challenges in achieving these overall objectives.

***Skills mismatch and shortages.*** There is a paradox of unmet demand for skilled labor coexisting with high unemployment especially among youth. On one hand, there is a high unemployment among educated Sri Lankans, with unemployment rates as high as 28 percent among youth in the age group 19-25 years. Unemployment also rises with education, being highest among those with post-secondary qualifications. Several studies point to the low employability of TVET graduates and to wide variation in placement rates by program (TVEC, 2010). On the other hand, the demand for skilled workers is high, as evidenced by returns to TVET ranging from 7 percent to 17 percent (Chandrasiri, 2010, Riboud et al, 2007). Available data suggest that Sri Lanka's TVET system has failed to provide an adequate supply of skilled labor in different fields needed to sustain economic diversification and enhance competitiveness. This skills mismatch and shortage is likely to affect overall growth and productivity of the private sector, especially export oriented industries.

***Effectiveness in the delivery of TVET.*** It is important that training institutions - public or private - operate with a sound business model that allows them to adapt and react to the changing skill needs of the labor market. For public providers this implies greater autonomy and decentralized accountability to respond flexibly to rapidly changing environments. Yet, the quality and relevance of Sri Lanka's skills development system is considered poor and ineffective in meeting the needs of the labor market (e.g., Chandrasiri, 2010). Most institutions are slow to respond, have high internal and external inefficiencies, including duplication of courses and outdated curricula and equipment, and high drop-out rates. Inadequate numbers and qualifications of instructors and inadequate practice workshops and poor training facilities are considered among the main factors contributing to low-quality TVET

instruction (MVT<sup>2</sup>T, 2009).

***Access to TVET, especially for women and rural population.*** The skills development system appears marked by unequal access, especially for women and rural population. About 35 percent of those enrolled in public technical and vocational institutions are women but their distribution by course highlights the gender imbalances across TVET programs. The percentage of women enrolled in technical courses is less than 25 percent, but they account for over 50 percent of enrollment in textiles and secretarial programs. At the same time, student demand for TVET is low especially for vocational programs, resulting in low enrollment rates and efficiency in many TVET institutions. Structural impediments— which include lack of opportunities for further advancement in the education system—restrict upward mobility of TVET students, contributing to the views of TVET as a dead end with low prestige, and to reduced social demand for TVET (ADB, 2008b). The establishment of the University of Vocational Technology appears to address the limited upward mobility of TVET students.

***Diversification in the delivery of TVET and adequate linkages.*** In many countries, reforms in the TVET sector have provided space for the entry and growth of private sector training providers, with salutary effects on greater consumer choice and efficiency in the training delivery of both public and private sector institutions. In Sri Lanka, the public sector dominates TVET provision and there is inadequate coordination and linkages among public, private and non-governmental stakeholders and with university education. TVET institutions also face challenges actively involving the private sector in the design, delivery and financing of training. Despite recent efforts to strengthen the linkage between public institutions and the private sector, the link is thin and the relevance of the curricula has been questioned by employers. Agencies point to their using the private sector to validate skill standards for each industry, their sponsorship of dual training for apprentices, and their presence on boards of training institutions, though it is unclear how important a role they actually play in the governance or operations of institutions. Similarly, information is limited to assess the delivery of private TVET, although there is an increasing number of private TVET institutions registered with TVEC.

***Efficiency in the delivery of TVET.*** The financing of Sri Lanka's skills development system relies largely on supply side interventions and appears to be inefficient and in low demand. The MC recognizes the need to diversify TVET provision and sources of financing for public institutions. At the same time, incentives to make funding mechanisms more responsive to the economic sectors demanding skills need to be developed. Simplified procedures for the allocation of funds will be needed, as well as the introduction of monitoring and evaluation procedures to help assess the impact of improved funding mechanisms in promoting skills development.

***Skills development efforts in the informal sector.*** Addressing the skill needs of the informal labor market, particularly those in supply chains in sectors with growth potential, represents an urgent need in the Sri Lanka economy. In 2006, about two thirds of the working population was employed in the informal sector. The less educated are more likely to be informally employed. Available survey results also show that better education and skills are poorly rewarded in informal employment, which suggests that Sri Lanka is not reaping the benefits of its education performance because the economy has failed to generate the type of jobs that require skilled labor (Gunatilaka, 2008).

<b>I agree with the above,</b>	
<b>HALIL DUNDAR</b>	<b>Signature:</b>
<b>JINENDRA KOTHALAWALA</b>	<b>Signature:</b>

## **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 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 or 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 survey will cover both urban and rural areas in all the provinces in Sri Lanka among people aged between 15-64 yrs. The **target population** excludes *foreign diplomats and non-nationals working for international organizations* and people in institutions such as hospitals or prisons. In addition, since STEP is a household survey, collective dwellings or group quarters may be excluded.

Other exclusions from the target population are:

- Persons living outside the country at the time of data collection, e.g., students at foreign universities
- 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

As informed by the DCS there is no exclusions of the country’s urban population aged 15 to 64 years of age in the sample frame.

- **Nielsen is Agree with the operational definition of Private Dwelling Unit and A household member as below** *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***
  - ***considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;***
  - ***makes some common provision for food or other essentials of living;***
  - ***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.***

There are two official languages, Sinhala and Tamil in Sri Lanka. In addition to that English is used as link language. The language ability is as follows for 18 districts based on 2001 census.

Percentage of Sinhalese Population Ability to Speak		Percentage of Sri Lanka Tamil Population Ability to Speak		Percentage of Indian Tamil Population Ability to Speak		Percentage of Sri Lanka Moor Population Ability to Speak	
Tamil Language	English Language	Sinhala Language	English Language	Sinhala Language	English Language	Sinhala Language	English Language
4.0	13.2	64.6	24.1	50.8	8.7	60.9	20.6

## 2. Specify any special additions to the target population.

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

The rural areas populations more than 84 percent of the Sri Lankan population. It is therefore important to understand their skills and literacy abilities as well, in order to formulate policies which would help improve the marketability of the most disadvantaged.

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

In the case of Sri Lanka, the strata are the urban and rural (including estate sector) areas, and the PSUs – the Grama Niladari (GN) divisions.

The latest Census was carried out in Sri Lanka in 2011/12. Still, the distribution of the population by urban/rural is not yet available

The previous Census was carried out in 2001, but not in all the districts (see Note to the Table below). The following table presents the population counts by sector, for the 18 completed districts in 2001 (the average household size for the 18 districts was 4.2):

### **Population distribution by sector for 18 districts**

District	Total population		Urban		Rural		Estate	
	no.	%	no.	%	no.	%	no.	%
Colombo	2,251,274	100	1,229,572	54.6	1,014,388	45.1	7,314	0.3
Gampaha	2,063,684	100	300,933	14.6	1,762,028	85.4	723	0.0
Kalutara	1,066,239	100	113,188	10.6	915,477	85.9	37,574	3.5
Kandy	1,279,028	100	155,987	12.2	1,030,172	80.5	92,869	7.3
Matale	441,328	100	36,103	8.2	383,468	86.9	21,757	4.9
Nuwara Eliya	703,610	100	43,073	6.1	283,659	40.3	376,878	53.6
Galle	990,487	100	109,921	11.1	863,309	87.2	17,257	1.7
Matara	761,370	100	64,361	8.5	676,499	88.9	20,510	2.7
Hambantota	526,414	100	21,571	4.1	503,410	95.6	1,433	0.3
Ampara	592,997	100	112,536	19.0	480,461	81.0	0	0.0
Kurunegala	1,460,215	100	34,691	2.4	1,418,881	97.2	6,643	0.5
Puttalam	709,677	100	65,294	9.2	642,210	90.5	2,173	0.3
Anuradhapura	745,693	100	53,151	7.1	691,573	92.7	969	0.1
Polonnaruwa	358,984	100	0	0.0	358,679	99.9	305	0.1
Badulla	779,983	100	51,536	6.6	567,178	72.7	161,269	20.7
Moneragala	397,375	100	0	0.0	388,226	97.7	9,149	2.3
Ratnapura	1,015,807	100	58,245	5.7	855,178	84.2	102,384	10.1
Kegalle	785,524	100	17,139	2.2	712,914	90.8	55,471	7.1
Total (18 districts)	16,929,689	100	2,467,301	14.6	13,547,710	80.0	914,678	5.4
Jaffna	490,621			n.a.		n.a.		n.a.
Mannar	151,577			n.a.		n.a.		n.a.
Vavuniya	149,835			n.a.		n.a.		n.a.
Mullaitivu	121,667			n.a.		n.a.		n.a.
Kilinochchi	127,263			n.a.		n.a.		n.a.
Batticaloa	486,447			n.a.		n.a.		n.a.
Trincomalee	340,158			n.a.		n.a.		n.a.
Total Sri Lanka	18,797,257			n.a.		n.a.		n.a.
Note :	Census of Population and Housing 2001 was carried out completely in 18 districts. Out of the 5 Districts in the Northern Province, Jaffna, Kilinochchi, Mullaitivu were not covered during Preliminary and Final Census. Vavuniya and Mannar were covered partially. In the Eastern Province, Ampara was covered completely and Trincomalee and Batticaloa were covered partially. As such, estimates for the Districts which were not covered or partially covered, are based on the information collected during the Listing and Numbering operation of the Census 2001, wherever possible; wherever the Listing and Numbering operation was also not complete the Registrar General's Estimates based on the registration of Births and Deaths, have been used.							
4. Explain any expected deviations from the STEP Technical Standards.								

There are one deviations from the STEP Technical Standards.

STEP target only urban areas as a standard and as specified by the WB team Task the rural areas populations more than 84 percent of the Sri Lankan population so it was included.

## 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).*

### **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, Background Questionnaire, and Assessments.
2. Explain any expected deviations from the STEP Technical Standards.

STEP is a household survey in which the key goal is to conduct a structured individual 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).

### 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 Sri Lanka is expected to be 70%.

This expected response rate is based on the following reasons:

**Nielsen is planning to calculate this for the field status report and kindly request you to share this in line with page 54 of the questionnaire (the results code). Otherwise achieving a minimum response rate will be challenging**

### 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**

**The sample frame used for this survey will be the Census 2011/12, which covers the whole island.** As informed by DCS this sampling frame coverage the unique, in-scope survey units on the sampling frame comprises at least 95% of the target population.

The sample will be stratified by urban and rural locations. Given that at the time of the survey the total counts and the CEAs (counts and maps) are not available, the team will focus on using larger administrative units (GNs) in the firststage of sampling. There are 14,022 GNs based on the 2012 Census (see Table below).

District	DS division	No. of GN Divisions
Colombo	13	557
Gampaha	13	1,177
Kaluthara	14	762
Kandy	20	1,188
Mathale	11	545
Nuwara Eliya	5	491
Galle	19	895
Mathara	16	650
Hambanthota	12	576
Jaffna	15	435
Mannar	5	153
Vavuniya	4	107
Mullaithivu	5	131
Kilinochchi	4	95
Batticaloa	14	346
Ampara	20	503
Trincomalee	11	230
Kurunegala	30	1,610
Putthalama	16	548
Anuradhapura	22	694
Polonnaruwa	7	295
Badulla	15	567
Moneragala	11	319
Kegalle	17	575
Rathnapura	11	573
Total	330	14,022

At the moment, the team does not have access to more information regarding the distribution of households within the GNs.



Given that it is DCS' policy not to share the sample frame, the sample is selected by DCS based on the Sri Lanka team's specifications.

### **Listing Survey**

The listing survey is the first point of meeting/contact for the potential respondents/households. Since the 2001 Census is to be used as a sample frame, therefore changes are to be expected during the listing exercise.

During the pre-test and pilot survey stages we tried to identify households and not dwellings. However, if we try to identify households rather than dwellings at this stage the field team has to ask more specific questions from neighbors etc. and as a result it may create some unnecessary doubts among the villagers. Hence, to minimize those situations we prefer to list dwellings and select household based on the list of dwellings. If more than one household is there in any dwelling, the methodology recommended by the CORE team will be used to select one household randomly.

## **4.5 Sample size – Partial Assessment**

### **STEP Standard**

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

- *A minimum of 2000 complete STEP interviews for each STEP reporting language target population are required.*

*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.*

*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 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,

<p>by PSU, etc..</p> <p>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..</p> <p>b) Describe the basis for the size of the reserve sample, e.g., non-response expectation, design effect.</p> <p>2. Provide the rationale for additions to the sample size to satisfy country-specific data analysis objectives.</p> <p>a) What are the data analysis objectives? For example, identify the important data breakdowns or survey estimates to be derived from the survey data.</p> <p>b) What are the precision goals for the survey estimates?</p> <p>3. Sample monitoring procedure.</p> <p>a) Describe the planned strategy for monitoring the sample returns to ensure that the sample size goal is achieved.</p>	
<p>1. STEP Target Sample Sizes</p> <p>The goal is to achieve 1,200 complete interviews in urban areas. This is a deviation from the current STEP standard, but this was the standard at the time when the survey in Sri Lanka was contracted, which is long before the current standard was set. Initially, under the umbrella of the Ministry of Youth Affairs, the survey was contracted for covering both the rural and urban areas of the country. When the standard was set, the team faced two options: (i) cut the sample size for the rural areas in order to increase the sample size in urban areas; or (ii) increase the urban sample and keep the current rural sample. The weakness of the first approach was that the sample would have been biased towards the urban areas (which make for approx 15 percent of the population) and the rural sample size would have been insufficient to draw sensible estimates. The second approach would have cost more money, which the team could not raise. It was therefore decided to go with the current sample size split: 1,200 interviews in urban and 1,800 interviews in rural areas.</p> <p>Nielsen will follow the recommendations in the Operation Manual as sample replacement rules. However, due to inherent field failures and following the Washington training (where the target was changed into 3,000 'accepted' rather than 'complete' interviews), Nielsen cannot guarantee achieving 1,200/1,800 complete cases (for ETS purposes). Nielsen will, however, do its best to achieve 3,000 complete interviews while committing to achieve 3,000 accepted interviews.</p>	
<p>2. Special additions to the STEP sample size.</p> <p>As mentioned previously, the survey in Sri Lanka will also be implemented in rural areas, as discussed with the Government counterparts for this project.</p>	
<p>3. Sample Monitoring procedure</p> <p>Nielsen will be using the Back pages of the Questionnaires and the Sample Tracking Forms provided by the STEP Consortium in order to keep track of the completion status in the field. At the end of the work in the PSU, the Supervisor will submit these to the Colombo office, and</p>	

the Project Manager will keep track on the progress. A summary of these results will be submitted to the World Bank team on a bi-weekly basis.

In case of highly unusual situations which are not described in the Operations Manual, the Project Manager will do its best to contact the World Bank team immediately seeking resolution. Still, due to scheduling of the fieldwork (5 days per PSU) and the possibility of not being able to make contact with senior staff immediately (e.g. remote areas with no connectivity), the field supervisors will have to make decisions themselves. All such special cases will be, however, reported and properly documented.

**I agree with the above,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**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.

**Non-probability designs such as quota sampling or random route designs must not be used at any stage of sample selection. The survey estimates from STEP will be weighted estimates based on the probability of selection of sample units. Therefore, it is essential to employ only probability sample designs.**

### **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.

The sample of 3,000 households will be selected in four stages. In the first stage, 200 GN divisions (hereafter referred to as *GNs*) will be selected. In addition, a sample of 60 reserve GNs (30 percent of the total number) were selected, to be used in cases some of the initial GNs are not available (e.g. war, conflict), or if the desired sample size could not be achieved in the initial GN. In the second stage, with the help of GN officers, each GN will be segmented in smaller geographical areas (call the Primary Sampling Units or PSUs), and one PSU per GN will be randomly selected. In the third stage, a sample of dwellings will be randomly selected from each selected PSU. In addition, a reserve sample of dwellings will be selected for use in cases of non-response. The reserve sample will be selected at the same time as the original sample. In the fourth stage, 15 households will be randomly chosen from the selected dwellings in each selected PSU. 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 survey will cover the urban and rural regions of the country.

***First sampling stage.*** The sample frame will be the complete list of GNs generated by the 2011/12 national census. The sample is selected by the DCS based on the following recommendations from the World Bank team:

- 1) Stratify the sample frame by urban and rural areas. In addition, sort the sample frame by district and province within the urban area and within the rural area;
- 2) Select a PPS systematic sample of 104 GNs in urban areas. The measure of size for PPS sampling is “number of households” per GN;
- 3) Select a PPS systematic sample of 156 GNs in rural areas. The measure of size for PPS sampling is “number of households” per GN.

The sample of 260 PSUs received from DCS will contain an unambiguous identifier (codes for the region, province, etc.) and one measure of size (number of households).

Notes for First Sampling Stage:

- 1) The GN maps will be requested from the GN field officers.
- 2) Segmentation of outsized GNs. Given that the mean/median number of households per CEA is around 40-60 households (based on the 2001 Census data), Nielsen’s supervisors will request the GN officers to segment the GNs by physical/geographical boundaries, each encompassing about 60-100 households. Once the GN is segmented in smaller units (let’s call them PSUs), these units will be numbered as follows:

There is a possibility that the number of those segments will be 2, 3, 4, 5, 6 etc. depend on the GN size. By using a random table for each district/team field supervisors will select a segment randomly and document properly. The numbering pattern will be as follows.

If few units are there clockwise (right hand direction) will be used. As an example if 4 – 8 segments are there the numbering will be as follows.

1	2
4	3

1	2	3
6	5	4

1	2	3
6	5	4
9	8	7

Then the supervisor will randomly select one of these PSUs based on a random table similar with the one used for the selection of the individuals within the household (just that now there'll be tables of more than 15 numbers).

**Second sampling stage.** The sample frame for the selection of dwellings in each selected PSU will be the updated list of all dwellings in the PSU, carried out by Nielsen at the beginning of fieldwork in each PSU. In the second stage, after the segmented PSU listing was carried out each selected PSU, 15 target households and 15 reserve households will be identified by using WB core team generated sample identification numbers. At the same time, a reserve sample of the same number of dwellings will be selected for use as needed to ensure that the target sample size is achieved.

Essentially, the total number of dwellings or households (comprised of the initial target sample and an equal number of reserve dwellings or households) will be systematically selected in the field and assigned serial numbers from 01 to the PSU sample size based on the order in which they are selected. The STEP Consortium will provide a sample file including for each sampled PSU the random subset of dwellings or households that are to be used as the initial target sample, and the random subset of dwellings or households that constitutes the reserve sample to be used for when non-response cases occur. For example,

- i) The STEP Consortium sample file will contain different sequences of initial and reserve sample households for each selected PSU.
- ii) The reserve sample will be used in the order shown in the Sample Tracking Form. That is, the first dwelling/household on the reserve list will be used for the first instance of non-response, the second dwelling/household will be used for the second instance of non-response, and so on.
- iii) The reserve sample should only be authorized for use by the field supervisor, after the recommended follow-up procedures have been unsuccessful in gaining an interview (will follow the Operational Manual's instructions). The Field/Project Manager will closely monitor the use of reserve sample in order to ensure there are no slippages from the recommended approaches.

**Third sampling stage.** A household will be selected within each selected dwelling. In most

cases it is expected that there will only be one household per selected dwelling and this household will be interviewed. However, there may be cases in which there is more than one household within a selected dwelling. In such cases, one household will be randomly selected from the households within the dwelling. The general description of the household selection procedure is as follows:

- a) The interviewer will list on a separate sheet the names of the household heads for each household residing in the selected dwelling, and will also record the birth date (at least year and month) of each household head;
- b) The interviewer will then assign a sequential number to each household head, with the youngest household head being assigned number 1, and the oldest being the last on the list;
- c) The largest sequential number (that of the oldest household head), say C, indicates the number of households within the selected dwelling.
- d) Each Household Questionnaire will include a table of random numbers to be used in selecting a household to interview.
- e) The Interviewer refers to the table of random numbers and, reading across the table row(s), chooses the first number in the table, say D, that is less than or equal to C.
- f) The Interviewer then refers to the list of household heads and selects the household corresponding to the number D. The Interviewer must then proceed with the interview of the selected household.

**Fourth 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.

- a) The Interviewer procedure to select a person to interview within a selected household includes the listing of all household members in the household roster part of the Household Questionnaire. The procedure includes the assignment of a sequential number to each household member that is 15 to 64 years of age.
- b) Each Household Questionnaire will include a table of random numbers to be used in selecting a person to interview.
- c) A question in the Household Questionnaire guides the Interviewer to determine the number of eligible household members, say A.
- d) The Interviewer refers to the table of random numbers and, reading across the table row(s), chooses the first number in the table, say B, that is less than or equal to A. The Interviewer then refers to the household roster and selects the eligible household member numbered B. **This is the eligible person to be interviewed.**

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.**

Nielsen will carry out a dwelling listing exercise. Based on this full list, the assigned supervisor will carry out the sampling of the households in its own PSU.

On completion of the household listing operation, the firm will deliver to the World Bank a copy of the lists, and an Excel spreadsheet with the total number of households listed in each of the visited PSUs.

## 5.1 Sample Allocation and Selection

Nielsen will be responsible for the listing operations within each selected PSU. Following this and based on the Sample Tracking Forms provided by the STEP Consortium, the field Supervisors will proceed to selecting the appropriate number of dwelling/households for each selected PSU (comprising of both the initial and reserve sample of households). The selection of households will be carried out using the systematic sampling procedures presented in the Operation Manual.

In the case of multi-dwelling households, the enumerators will use the *Form for Selecting one Household from a Multi-Household Dwelling* provided by the STEP Consortium to randomly select only one of the households for interview. Nielsen will follow the procedures described in the Operation Manual.

I agree with the above,	
HALIL DUNDAR	Signature:
JINENDRA KOTHALAWALA	Signature:

## 6.0 LITERACY ASSESSMENT

### STEP Standard

*A participating country will implement the partial psychometric assessment design as prescribed by the STEP Management.*

*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.*

### 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.

### 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.



Sri Lanka will implement a partial literacy assessment in Sinhala, Tamil and English Languages. Sinhala and Tamil are official languages and English is a link language in Sri Lanka.

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.

However, the General Booklet will be printed and prepared as one document.

Please refer the special note in the “instructions to complete the NSDPR” section of this document and based on those discussions and negotiations, the Literacy Assessment standard will be finalized and Nielsen Sri Lanka will be following those. As a part of those standards the interviewers will be trained to administer the assessment according to the instructions and the guidelines agreed between Nielsen and the STEP Consortium.

Please note that for Sri Lanka reporting by each language standard is not applicable and reporting will only be at total level.

Stop watch standard was not in the initial standard and Cost was covered in the additional budget and after that Nielsen agreed to follow this standard. So each interviewer will use a stop watch to time the Reading Components exercises in the General Booklet.

## 6.1 Translation 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.

Nielsen agreed with the required method of the Literacy Assessment module translations as specified in the TOR, and the corresponding changes after and during the ETS trainings is as follows:

- Independent translation of all the text by two translators, who have no contact with each other
- A third translator will reconcile the two translations
- This reconciliation by a third translator will 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 in the Sinhala language. For the Tamil language a retired officer of the Department of Census and Statistics who has more than 20 years' experience in survey designing and implementation in the Tamil language will be perform the duties of the reconciliation.
- Verification Follow-up Form(VFF) filled in MSExcel before and during the translation process
- The final reconciled document submitted to the step CORE team and ETS for independent verifications in MS Word format along with the respective fonts as well as PDF formats
- ETS reviews the submitted documents through independent verifiers and make comments etc. in PDF versions and forward along with the VFF form for another review
- Nielsen reviews those documents and submits comments in the VFF and through direct mails.
- Finalize the document by ETS
- Prepare print ready versions

TOR specified only a translation task, however for this literacy assessment module, before translating an adaptation task has been performed. The adaptations are beyond the task of a translator and technically a language experts' role has been played by the translators by adapting the materials according to the given guidelines in order to suit each specific language.

## 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.

Nielsen understands that for various reasons, the ETS has specified high quality standards to be followed during the training stages. A summary of those printing standards for the Literacy Assessment will be as follows.

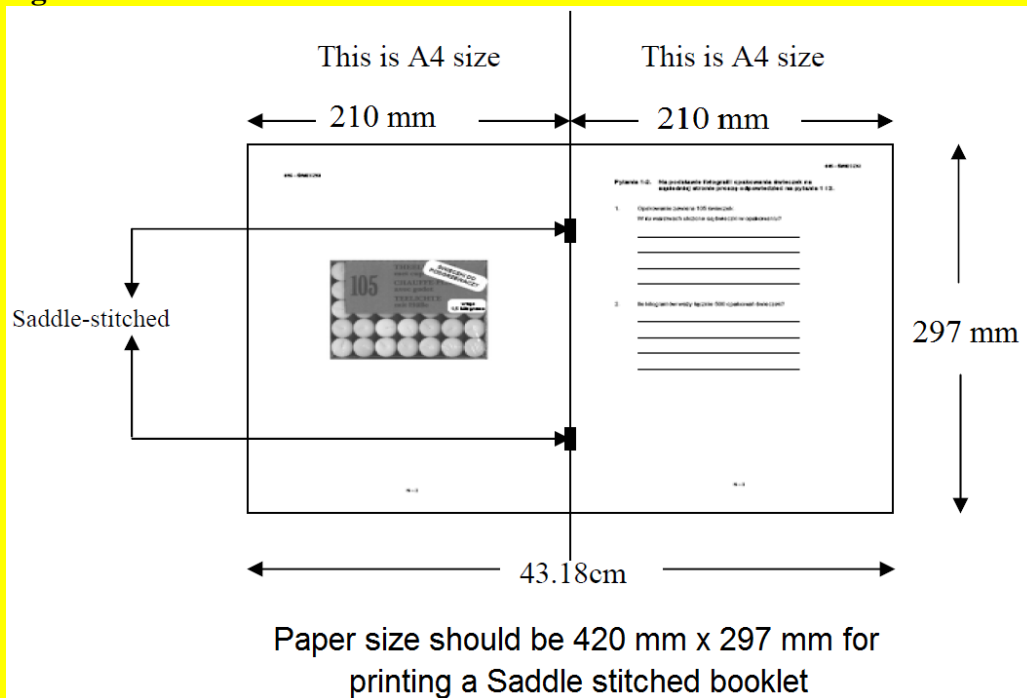
- The whole printing will be outsourced to a suitable printing supplier along with the ETS guidelines
- The booklets will be provided by ETS in high quality PDF format and should be opened and printed from Adobe Acrobat
- Nielsen will not print as reproductions/copies. In other words, Nielsen will not send hard copies of the booklets to the printing agency in order for them to reproduce/copy the booklets as this will alter the size of the booklets and images etc.
- Nielsen will NOT convert the PDF files to EPS (or any other format) and then have the printing agency print the booklets from those formats as this will alter the size of the booklets and images
- The booklets will be printed exactly as they were received
- Blank pages may not be added OR deleted! At this stage there are 40 pages in the document
- If any changes are needed, Nielsen will contact the ETS and get a revised final file if needed
- The booklets will be printed as a saddle-stitched booklet. This will ensure that the

stimulus and its associated questions will face each other

- Printing will be done by using A3 size papers
- The booklets will be printed on paper that is at least 70 gsm
- Nielsen will try their level best to keep the printed forms throughout the survey process in a safe and clean environment since transport, storage etc. are in a bad condition in real situations.

The ETS will provide the following figures to explain the final outlook graphically.

**Figure 2**



**I agree with the above,**

**HALIL DUNDAR**

**JINENDRA KOTHALAWALA**

**Signature:**

**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.

In order to address the effect of the economic crisis on the economic activity, an extra section has been added to the Employment module as part D. This part is addressing the quarterly recall of the labor force participation status for the last four years.

- Working
- Not working and looking for a job
- Not working and not looking for a job because of studying
- Not working and not looking for a job because of other reasons than studying

In order to address the questions of particular interest to the Ministry of Youth Affairs and Skills Development, additional questions on TVET were added in the Education module:

(17.1)	In addition to your general education, have you followed any technical education or vocational training programme which had a government-approved curriculum?										
	YES				1						
	NO				2 >> 18						
(17.2)	What is the highest level of technical education or vocational training you have completed?										
	LEVEL										
	Vocational training (certificate)				11						
	Technical education (diploma)				12						
	Professional qualification (diploma)				13						
	Vocational technology (degree)				14						
	DID NOT COMPLETE ANY CERTIFICATION				0 >> 17.5						
(17.3)	In what field was this highest level of technical education or vocational training?										
	INTERVIEWER: USE CODES 41-59 FROM QUESTION 17.6										
<b>MODULE 2: EDUCATION</b>											<b>PAGE 13</b>
(17.4)	For how many months or years did you follow this technical education or vocational training?										
	IF LESS THAN ONE SCHOOL YEAR, WRITE MONTHS, OTHERWISE WRITE YEARS								MONTHS		
									YEARS		
(17.5)	Have you received any of the following technical or vocational qualifications?						Yes	No			
	A vocational or technical certificate						1	2			
	A vocational or technical diploma						1	2			
	A professional qualification Diploma						1	2			
	A vocational technological degree						1	2			
	Other (Specify _____)						1	2			
(17.6)	In what field(s) is this certificate, qualification, diploma, or technological degree? IF RECEIVED SEVERAL DIPLOMAS REFER TO THE TWO MOST IMPORTANT TO YOU. (INTERVIEWER: THIS MAY BE THE SAME FIELD OR DIFFERENT FROM THE FIELD IN 17.3)										
	AGRICULTURE, LIVESTOCK, FISHING, ETC.						41				
	AUTO OR HOME APPLIANCE REPAIR						42				
	BUILDING AND CONSTRUCTION TRADE						43				
	MANUFACTURING (E.G. MECHANIC, SKILLED OPERATOR)						44				
	INFORMATION TECHNOLOGY (E.G. COMPUTER SOFTWARE, DATABASE,						45				
	OTHER ENGINEERING, SCIENCE OR ARCHITECTURE						46			MAIN	
	BUSINESS MANAGEMENT, BOOKKEEPING/ACCOUNTING, FINANCE, ETC.						47				
	HEALTH SERVICES (E.G. NURSE, PHARMACY, PARAMEDIC, TECHNICIAN,						48				
	EDUCATION						49			SECOND	
	LEGAL SERVICES (E.G. LEGAL ASSISTANT, PARALEGAL)						50				
	SECRETARIAL, CLERICAL, GENERAL OFFICE						51				
	HAIR DRESSING, COSMETOLOGY						52				
	RESTAURANT, CULINARY ARTS, HOTEL, TOURISM						53				
	PUBLIC ORDER AND SAFETY (E.G. POLICE, ARMY, FIRE SERVICES, ETC.)						54				
	OTHER (SPECIFY _____)						59				
INTERVIEWER PROMPT: I AM NOW GOING TO ASK YOU FEW QUESTIONS REFERRING TO THE MOST IMPORTANT CERTIFICATE, QUALIFICATION, DIPLOMA, OR TECHNOLOGICAL DEGREE.											

(17.7)	Please tell me the name of the institution where you received this certificate / qualification / diploma / technological degree												
(17.8)	What type of school or institution was this?												
	PUBLIC, GOVERNMENT										1		
	PUBLIC, STATUTORY BOARD (for example VTA, NAITA)										2		
	PRIVATE TRAINING CENTER										3		
	NGO-SECTOR TRAINING CENTER										4		
	OTHER (SPECIFY _____)										5		
(17.9)	What was the required time-length in order to complete this certificate / qualification / diploma / technological degree? Please give me the length either in hours or in months/years.												
	INTERVIEWER: IF THE RESPONDENT ANSWERS										MONTHS		
	IN YEARS - DO THE CONVERSION IN MONTHS										HOURS		
<b>MODULE 2: EDUCATION</b>													
											<b>PAGE</b>		
(17.10)	In which year did you complete this certificate / qualification / diploma / technological degree?												
	INTERVIEWER: RECORD WITH 4 DIGITS.										YEAR		
(17.11)	Which is the main reason you chose to attend technical and vocational education (TVET)?												
	COULD NOT GET INTO UNIVERSITY										1		
	COULD NOT AFFORD TO GO TO UNIVERSITY										2		
	PROVIDES GOOD JOB / SALARY OPPORTUNITIES										3		
	NO OTHER OPTION AVAILABLE IN THE NEXT LEVEL OF EDUCATION THAT WAS GEOGRAPHICALLY CLOSE										4		
	IT PROVIDED A FASTER OPTION TO GET A JOB										5		
	OTHER (SPECIFY _____)										9		
(17.12)	In which ways did the technical and vocational education you completed help in your employment?												
	RECORD UP TO TWO RESPONSES												
	I AM NOT EMPLOYED										1		
	MORE JOB OPPORTUNITIES IN SRI LANKA										2	MAIN	
	MORE JOB OPPORTUNITIES ABROAD										3		
	BETTER JOBS/ ADVANCEMENT										4		
	MORE CONFIDENT IN PERFORMING MY DUTIES										5	SECON	
	DID NOT HELP										6		
	OTHER (SPECIFY _____)										9		
(17.13)	Do you plan to enroll in another technical and vocational education course in the future?												
	YES	1									DON'T KNOW	9	
	NO	2											



(20.1)	How much have you spent or will you spend on your education in this 2012 academic year on [ITEM]												
	INTERVIEWER: IF THE RESPONDENT CANNOT BREAK DOWN EXPENSES WRITE DOWN 99 FOR THOSE ITEMS AND WRITE THE TOTAL IN LAST ROW.												
	IF THE RESPONDENT DID NOT SPEND ON AN ITEM, WRITE DOWN '0'.												SLRs
	School or program fees and other required fees												
	Uniforms and other clothing												
	Textbooks												
	Other education materials (e.g. pens, exercise books)												
	Meals, transportation, and / or lodging												
	Fees for outside tutoring or extra classes												
	Other expenses (e.g. optional fees)												
	<b>Total</b> (if not separately)												

(23.1)	What sort of certification does this program have ?									
	A vocational or technical certificate									
										1
	A professional qualification									
										2
	A qualification diploma									
										3
	A technological degree									
										4
	Other (Specify _____)									
										9
(23.2)	Please tell me the name of the institution where you are currently attending this technical education/vocational training programme?									
(23.3)	What type of institution is this? INTERVIEWER: READ OPTIONS.									
	PUBLIC, GOVERNMENT									
										1
	PUBLIC, STATUTORY BOARD (for example VTA, NAITA)									
										2
	PRIVATE TRAINING CENTER									
										3
	NGO-SECTOR TRAINING CENTER									
										4
	OTHER (SPECIFY _____)									
										5
(23.4)	What is the required time-length in order to complete this certificate / qualification / diploma / technological degree? Please give me the length either in hours or in months/years.									
	INTERVIEWER: IF THE RESPONDENT ANSWERS					MONTHS				
	IN YEARS - DO THE CONVERSION IN MONTHS					HOURS				
(23.5)	In which year did you start this certificate / qualification / diploma / technological degree?									
	INTERVIEWER: RECORD WITH 4 DIGITS.					YEAR				
<b>MODULE 2: EDUCATION</b>										<b>PAGE 16 CONTINUE</b>
(23.6)	Which is the main reason you chose to attend vocational and technical education (TVET)?									
	COULD NOT GET INTO UNIVERSITY									
										1
	COULD NOT AFFORD GOING TO UNIVERSITY									
										2
	PROVIDES GOOD JOB / SALARY OPPORTUNITIES									
										3
	NO OTHER OPTION AVAILABLE IN THE NEXT LEVEL OF EDUCATION THAT WAS GEOGRAPHICALLY CLOSE									
										4
	IT PROVIDED A FASTER OPTION TO GET A JOB									
										5
	OTHER (SPECIFY _____)									
										9
										>>37

Some of the country-specific question were included in the pre-test and pilot surveys and amendments and significant addtinal questions included in the final version.

## 2. Description of the pretest strategy

Sri Lanka implemented the Household and Employer Questionnaires pre test prescribed by the STEP Consortium in early September 2011. Valerie Evans carried out the training in Sri Lanka for the Nielsen team from August 29<sup>th</sup> – 30<sup>th</sup> for the household and employer surveys and subsequently she observed the interviews being carried out on 2<sup>nd</sup> and 3<sup>rd</sup> September.

Nielsen team conducted the household pre pilot briefing to five selected supervisors/ interviewers including

- Listing operation
- Household selection
- Random selection of an individual respondent
- Main interview
- Literacy Exercise

These five team members had exceptional experience, educational background and exposure to conduct this kind of surveys and were purposively selected for this pre pilot. 20 interviews were targeted in the urban, rural and semi urban areas by those five interviewers, and Valerie Evans observed various modules of selected interviews in all geographical areas.

The purpose of pre pilot surveys was to test

- Length of questionnaire and time of each module
- Questions that are ambiguous and not well phrased for respondents
- Flow of the questionnaire

The household questionnaire took 152 minutes on an average, after excluding the interviewer impressions, respondent selection questions and other logistics such as respondents time allocation for handling his regular task/activities while responding to the questionnaires (e.g. answering for family members request, household chores etc.). In addition the interviewers we recruited were highly skilled and their interviewer completion time cannot be expected form an average interviewer.

Due to the length there were many challenges we faced during the pre-pilot, which were presented to the core team in detail.

We observed that the respondents who completed most of the literacy module questions were cooperative and enthusiastic, while those who couldn't complete the exercise were much less cooperative due to suspicion. Thereby it is better to give the literacy module CORE material first since it takes a maximum of 7-8 minutes, start the interview with the other sections and the second literacy component after module 5, 6 or 7 or any suitable time.

The personality and behavior section is too monotonous and embarrassing; drop this to the end

after getting key information. There are many repetitive statements, what needs to be measured can be done with a maximum of 10-15 statements.

### **General overview of the learning's**

- An objective of the Step skills measurement survey is needed as an introduction, before starting module 0. The introduction is vital for the respondents benefit.
- Interviews close to three hours to complete, as a result truthful answers will not be elicited.

Reason	Result
High education of the respondent	Due to the length of the interview the questionnaire will be rejected. This will result in a high non response rate
Low education of the respondent	They complete the interview due to politeness, in order to satisfy the interviewer
Situation of the respondent	Housewives when the interview drags on for two hours, they become agitated. As they have to attend to their household chores

- If the respondent selected is a textile factory worker, security guard or policemen etc. Sunday is their only free day, therefore they are extremely reluctant to spare three hours for an interview. Furthermore three wheeler drivers are always busy, they too are reluctant to allocate 3 hours for an interview.
- Some sections of the questionnaire is not simple and requires a lot of explanations, which results in interviewer bias, due to the education of the interviewer and the respondent. The present situation of the respondent also plays a role in interviewer bias. As a result the interview depends on:
  - a. The interviewer's understanding of the questionnaire
  - b. The respondents interpretation of the question
  - c. And the interviewers understanding of the respondents interpretation of the answer
- The questionnaire indirectly seems a measure of intelligence, which makes the respondent uncomfortable. Thereby the questionnaire seems to be putting the respondent in to a predetermined frame.

A 10 page detailed report has been prepared and submitted to the core team for review on 12<sup>th</sup> September.

### **A qualitative pre-test**

The qualitative pre-test training session was carried out by the World Bank on 9<sup>th</sup> September,

2011 via video conference from Washington D.C. Four countries including Sri Lanka, Bolivia, Ukraine and Ghana participated for the training. The objective of the training was to gain a solid understanding of the purpose of the qualitative pre-test, the implementation procedure of the qualitative pre-test, the format of the qualitative pre-test, questions to be pre-tested and to understand the feedback procedure (reporting the findings). The key members of The Nielsen, Sri Lanka team who participated for the training were:

1. Jinendra Kothalawala
2. Melina Dilani Jaimon
3. Hiruni Ratnayake
4. Gaminie Kumaranayake

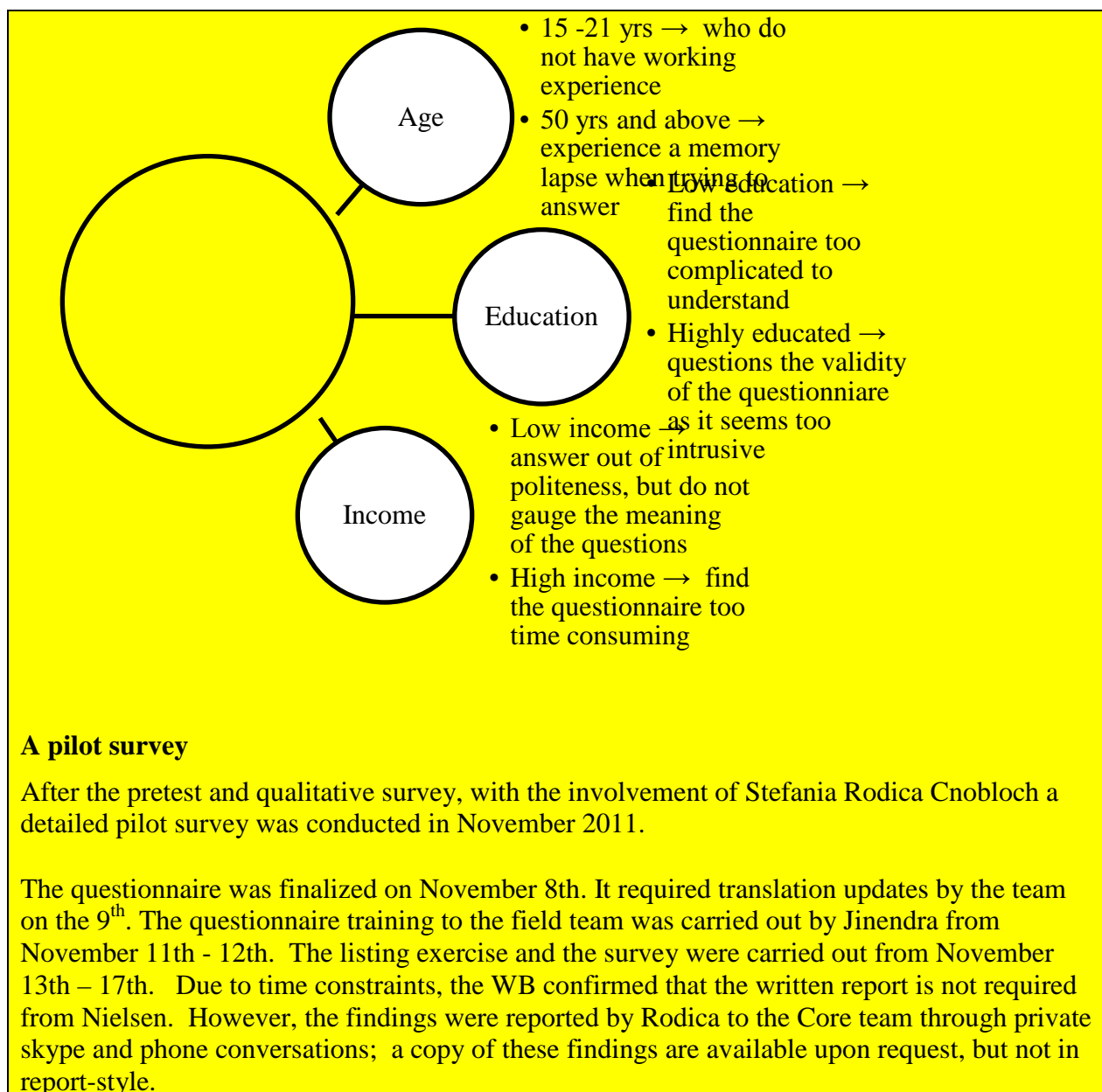
Dates of the pre-test were 17<sup>th</sup> and 18<sup>th</sup> September and qualitative pre-tests were carried out in urban and rural areas in the Gampaha, Kandy, Kurunegala and Galle district. A total of 24 respondents was the target sample population given by the World Bank. However, for practical purposes, Nielsen carried out a total of 32 interviews since many demographic variables have to be represented in this small sample. The Ministry letter (TVEC) was used to convince the respondents along with similar gifts that we proposed.

Length of training - The full day training for the qualitative pre-test was conducted for 8 supervisors/ interviewers by the Project manager, Jinendra Kothalawala together with senior field executive Gaminie Kumaranayaka with Melina Jaimon and Hiruni Ratnayaka on the 16<sup>th</sup> September. A list of the blocks of questions identified according to their importance and colour coded by the World Bank were given to each interviewer. Names of interviewers and – the respective areas covered by them are shown in the table below:

<b>Names of interviewers</b>	<b>Province</b>	<b>District</b>	<b>GN division</b>
1. D.M.S.Pushpakumara	Western	Gampaha	Pahalakaragahamuna North
2. Manjula Pathirana	Western	Gampaha	Pahalakaragahamuna North
3. U.H.P.Liyanaarachchi	Central	Kandy	Lewella
4. L.J.K.Samaratunga	Central	Kandy	Lewella
5. Nishanthi Weerasinghe	North Western	Kurunegala	Panwewa
6. Y.M.S.P.Dissanayake	North Western	Kurunegala	Panwewa
7. K.P.K.Wasantha	Southern	Galle	Walambagala North
8. A.D.Shanika Nilani	Southern	Galle	Walambagala North

A 24 page detailed report was submitted on September 30<sup>th</sup> for this component.

The questionnaire poses challenges due to some of the factors shown below:



### 3. Translation of the Household Questionnaire

Nielsen will follow the same process followed for the literacy assessment

- Independent translation of all the text by two translators, who have no contact with each other.
- A third translator will reconcile the two translations
- This reconciliation of a third translator will 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 for the Sinhala. For the Tamil language a retired officer of the Department of Census and Statistics who has more than 20 years' experience in survey designing and implementation in the Tamil language will performs the duties of reconciliation.

*Sri Lanka will implement the Household Questionnaire prescribed by the STEP Consortium in consultation with the TTL.*

#### 4. Printing of the Household Questionnaire

**I agree with the above,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**Signature:**

## 8.0 DATA COLLECTION

### **STEP Standard**

*Each participating 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 during the Reading Exercises Module and refuses to attempt all the items.*
- 4) A verification of an interviewer's visit will be carried out for a random sample of 15% of finalized cases in each interviewer assignment. This verification must include a verification of the sample selection procedures used by the Interviewer to select an individual to interview.*
  - a. An initial personal revisit to 15% of finalized cases is required for each of the sampled cases.*
    - i. In the event that a respondent is not available during the initial follow-up visit and a telephone follow-up may be carried out for no more than one third of the to the remaining 15% sample of finalized cases in each interviewer assignment.*



*ii. As a result of the verification follow-up procedure, in each interviewer assignment, a verification of an interviewer's visit will be carried out by a personal visit for a random sample of at least 10% of finalized cases, and a verification of an interviewer's visit will be carried out by a telephone follow-up for a random sample of no more than 5% of finalized cases.*

**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**

Nielsen suggests having a key informant ‘Awareness’ creation before the start of the survey in each of the selected areas as a survey promotion strategy. Grama Niladari officers are the best to target as key reference/informants for this type of surveys for targeted households/individuals.

The Grama Niladari officer is the lowest administrative officer who is very much closer to all the villagers and households, and is their first point of contact to get basic services like national identity cards, social and welfare benefits, character certificates and residence confirmations etc.

Due to the authority this officer is entrusted with, in general the GN officer is respected by the villagers. Once we inform this officer in writing the sponsorship and benefits of the survey to the citizens etc. he/she becomes aware of the survey. If any respondent is doubtful of their participation due to various issues, the survey team can request the respondent to get a reference form from the respective GN Officers. This approach may reduce the non-response to some extent. This officer works two full days and one half day in their respective areas and some officers work from their own home.

GN Officers are employees of the Ministry of Home Affairs, Provincial Council and Local Government and hence the letter has to be issued by this ministry. Since this project is sponsored by the Ministry of Youth Affairs and Skills development, the coordination between these two ministries has to be established and we request the help of the World Bank Sri Lankan team to get this. Nielsen will be able to share a suitable draft letter based on letters issued for previous studies by the Ministry of Home Affairs, Provincial council and local government.

### **8.1.2 Sponsorship Organization Introduction Letter and Survey Information leaflet and study website etc.**

#### **Sponsorship Organization Introduction**

A carefully worded, attractive introduction letter targeting the potential survey participants from the Ministry of Youth Affairs and Skills Development will be prepared and signed by the Chairman of the Tertiary and Vocational Education Commission in their original letterhead in the three survey languages namely in Sinhala, Tamil and English. The English version is attached as annex 1 in this document.

This letter will give the basic information to the respondent on the collaboration of the Government and the World Bank and introduce the survey agency to the respondents. If any

clarification is required as specified in the letter, the respondent can contact either the TVEC or Nielsen nominated officers over the phone.

Getting letters in an original letterhead is the best; however Nielsen is in a position to make color copies if required.

### **Survey Brochure**

In addition to the government sponsored agency introduction letter (TVEC) Nielsen suggests designing and developing a survey brochure (one A4 page folded into three) with basic information of the survey and the expectation of the respondents etc. The World Bank Core team will provide a brochure, in English and it will provide basic information about the study, including the survey purpose, the voluntary nature of participation, benefits to the respondent/population, etc. The brochure's usage by the firm when they approach the households or for other survey-related purposes is voluntary.

### **Web site**

In addition to the above strategies the web address of the study will be provided to the respondents if they have access to the internet, which will give them additional background information of the study providing further legitimacy.

## **8.2 Contact Strategy**

### **Listing Survey**

The listing survey is the first point of meeting/contact for the potential respondents/households. Since the 2001 Census is to be used as a sample frame, therefore changes are to be expected during the listing exercise.

During the pre-test and pilot survey stages we tried to identify households and not dwellings. However, if we try to identify households rather than dwellings at this stage the field team has to ask more specific questions from neighbors etc. and as a result it may create some unnecessary doubts among the villagers. Hence, to minimize those situations we prefer to list dwellings and select household based on the list of dwellings. If more than one household is there in any dwelling, the methodology recommended by the CORE team will be used to select one household randomly.

### **Main Survey ( Background questionnaire) and Literacy Assessment**

After the listing of dwellings in each PSU, 15 dwellings will be randomly selected. If those dwellings have more than one household as mentioned earlier one household will be selected randomly for interview. 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.

The interviewers will also be provided with a “Sorry I Missed You” note/paper to leave at the selected household ( may be in front of gate/main entrance door /mail box if available etc.) or with neighbor when nobody is at home. The interviewers will also be instructed to try to establish a likely time when someone can be reached by contacting a neighbor.

Contact attempts subsequent to the first attempt will be scheduled at different times of the day and different days of the week depend on other factors including the rest of the interviews and geographical locations and route etc.

### **Trained Interviewers/Supervisors**

Among many, one of the main factors in gaining respondent cooperation are the respondent’s perception of the survey and his or her reaction to the interviewer/supervisors. 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/supervisor; therefore, each interviewer will be well-trained to discuss the merits of the STEP study. To adequately prepare the survey team, all survey team members will attend an in-person training session, where time can be spent developing these basic 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 Nielsen is using an ID badge and a copy of the introduction letters and leaflet for the interviewer identifications.

## **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:** As a part of 10 days training program, the interviewers will be trained to obtain the cooperation of individuals who initially refuse or are reluctant to participate in the survey. At least one hour will be allocated in the training on this area before starting the listing survey training and half an hour review after the second interviews completed by the field team. During the training session all the interviewers will be informed that they will be observed, monitored and supervised on reducing the non-response rates.
- 2) **Interviewer Observations, Monitoring and Supervision process:**

As detailed in section 8.5 all the interviewers will be observed, monitored and supervised during the data collection stage and it will address the non-response rate issues. The following

are some of those steps.

Observations, monitoring and supervision will be done at four stages to reduce the non-response rates by giving insights to interviewers.

- At the time of the Listing operation
- At the time of the administration of the Main ( background) Questionnaire
- At the time of the selection of the Individual respondent
- At the time of administration of the Literacy module

Each of the four stages has key interactions with the respondents. The priority will be given to the objective of convincing the participation of the respondents especially during the first two weeks of the survey. During these initial stages each interviewer's interview will be accompanied by the supervisors and special attention will be given to the interviewers when they need more practical experience etc.

If interviewers have issues in getting the cooperation at any of the above four stages, the supervisors will be able to interfere and use their high level skills and experience to convince these non-responding respondents.

Since one team consists of 3 - 4 enumerators, managing this attention will not be a challenge. All these experiences will be discussed by the supervisors at the end of the day or the following day with other interviewers so specific non responses areas can be identified and reduced.

Even with the supervisors interventions if any respondents are not convinced regarding their participation, the following extra effort will be made.

#### Tailored Nonresponse approaches

In reality non response happens due to various reasons, there is a possibility of converting that respondent to participate in the survey if the survey team can identify the real reasons and address them properly. Based on similar studies carried out previously, we identified the following as the main reasons experienced by the survey team and addressed them separately.

- Busy with day to day work and no time for the survey- but interested
- Busy with day to day work and no time for the survey- no interested
- Don't trust the surveys in general
- Don't trust surveys and have bad experience etc.
- Don't trust the government, survey agency or The World Bank
- Other reasons

Depending on the reasons for the non-response, the field team has different approaches. It may be able to address the non- responses with the Grama Niladari's introduction letter, survey brochure and web site etc. In addition to that Nielsen will be sharing previous similar reports and newspaper articles etc. We suggest using the aging population study since it was implemented by The World Bank and is related to this study.

Nielsen follow the revised NSDPR stranded as follows.

*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 household where the selected individual is not able to begin the questionnaire – for refusal, for special circumstance, absence, other reasons.*
- 4) A household where the individual stops without finishing the individual modules 2-7.*

*A household where the individual stops during the Reading Exercises Module and refuses to attempt all the items.*

### **3) Token gift**

Since this survey takes on an average more than two hours and may require several visits to complete a full questionnaire including household modules, individual questionnaire and literacy assessments, a token gift would be appreciated. In previous studies implemented by the Department of Census and Statistics as well as by Nielsen, we have given some form of token/appreciation gifts. This was discussed in length during the negotiations and due to budget limitations it was agreed to allocate 2 US\$ per individual respondent. This doesn't include the listing survey as well as those who respond to the household level information (Module 1 Part A and B).

## **Recruit and Selection of Interviewers and Supervisors**

The Nielsen Company has freelance interviewers, supervisors with the language skills and educational qualifications suitable for this study. Nielsen has a database of interviewers and supervisors by districts, years of experience with Nielsen and educational qualifications etc. They may be allocated to some other projects and depending on the training and survey time schedule the existing field members will be allocated for this survey by the Field Unit Head. Depending on the sample distribution by districts the existing available members may suffice or if needed new interviewers will be recruited and selected. Supervisors who will be recruited for this study will have previous experience of involvement in surveys.

## **Training of Interviewers and Supervisors**

### **General Training**

All recruited field research officers (FROs) are sent for general training sessions once a month. This session familiarizes them with the skills, rules and regulations of being an interviewer/enumerator. Time to time depending on the requirement the Field Unit head decides to identify suitably experienced interviewers after some time as supervisors and they will be specially trained with supervision skills.

## **10 days STEP Training**

For this project, we propose a 10 day training. All the trainings will be conducted by Nielsen seniors and covers the

- Objectives of the study, quality control mechanisms, etc.
- Detailed explanation of each question one by one with expected answers, invalid and misleading answers etc.
- Instructions on how to properly fill out the questionnaires (convention for numeric variables, how to differentiate and write replies such as *non applicable*, *refusal to answer*, *don't know*, and so on)
- Issues related to checking of questionnaires
- Techniques to secure participation, interviewing techniques, how to handle difficult situations in the field
- Mock interviews to test the interviewers
- Overall logistics and time schedules

The Team Leader, Research Assistants, Field Executives, all supervisors and interviewers will participate in the training sessions, which will be held at the same time in one location.

Nielsen will make logistical arrangements, including food and lodging etc. and meet the cost of the training. Sinhala and Tamil training will be conducted separately since simultaneous interpretation / translation will not be suitable in this kind of complex study and not in a Sri Lankan context. The training sessions will be conducted by the Researchers with the guideline of Field Unit Head by the field executives and other researchers in two languages simultaneously. The Tamil language training will be conducted separately in the best suited location by the expert trainers with the help of Tamil field executives.

Field Training for this project will be conducted at a suitable location in Colombo. Sarvodaya located at Moratuwa may be a suitable place for this study as used in similar World Bank studies. Depending on the hall and the facilities available the cost and place will be finalized.

### **8.3.1 Number of Interviewers and supervisors**

Once the 3000 sample distribution by districts, province and urban and rural is finalized the required number of interviewers by districts will be calculated and depending on that number supervisors will be decided. As presented in the technical proposal in some districts the number of interviews will be very small and if the supervisors of the neighboring district have a lesser sample the same supervisor will be allocated by dividing the time schedule to complete the survey efficiently and effectively.

### **8.3.2 Method of Payment**

Since there were budget constraints for the study all the possibilities have been identified and



discussed at the negotiation stage. In Sri Lanka, Nielsen's method of payment for interviewers for quantitative sample surveys are normally based on successfully completed interviews. Due to the study design and the length of the interview in this study, we proposed a mix method. The payment will be based on the number of interviews, but if the interviewers are not in a position to conduct an interview in a given day where he is ready but the selected respondent is not ready to start the interview due to any unavoidable reason, a daily payment will be arranged. This proposed method of payment approach will facilitate controlling the replacement requirements as well as interviewer motivation to control the non-response and quality of the survey.

### 8.3.3 Interviewer Training Plan

Before beginning the actual household and individual survey in the field, the firm will carry out a rigorous training of its interviewers and field supervisors where the World Bank team is expected to participate. The 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. The proposed training plan is as follows.

Four days class room training is required. One day for the listing exercise and real field methodology practice. Two days of field practice of two full interviews will be followed by another two days of discussions on the learning's. Extra two days may be needed after one PSU has been completed to understand any other developing issues.

Training item	Days
Class room-HH survey & Literacy module	4
Field practice	2
Discussion on the learning's	2
After completing one PSU	2
<b>Total</b>	<b>10</b>

For this assignment at the proposal stage, Nielsen estimates that 20 field teams will be required with four members in addition to the area/province supervisors. Hence, with extra 33% we estimate that around 110 teams have to participate for this 10 day training and with researchers, coders, field seniors it will be  $(110 + 30)$  140 members in total.

TOR mentioned that 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. The firm is expected 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 firm will select the best performing candidates after testing.

Nielsen agrees to get expertise help on the planning, however given the complicated TOR situations it is not easy to do so practically. Therefore, we kindly request to give us the authority to do the planning, and any comments and suggestions by the expert would be greatly welcomed.

World Bank clarified to develop training plans during the training sessions in Washington, collaboratively. Once 200 PSU's are randomly selected, in the planning stage our field executives and supervisors are aware of the peoples livelihood/economic activity and possible daily routine patterns, and they know which days and what time is ideal for successful interviews and traveling time to reach those PSU's and transport facility conditions. So in some GN/PSU's three members will be higher and two members will be sufficient. In some areas we may need to use four members. Since we have one extra member and have a tight schedule, we can manage all the technical aspects within this time. So Nielsen will take the decision of making team compositions of interviewers and won't be fixing compositions as three or four.

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

Interviewers will be trained in three groups – a short pre-training for the English group, and concurrent training for the Sinhala and Tamil groups. There should 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 tests done throughout the training. Exercises have been provided by the Core team. These should be marked by training staff, including area supervisors.

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

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

### **Data processing team training:**

TOR mentioned that data entry persons should participate in the interviewer training because a thorough knowledge of the questionnaire is a valuable asset. This is a good arrangement for the data processing and analysis as well as chief coder/s.

As experienced by Nielsen data entry skills and interviewing skills are different and data entry personals need not concurrently participate for this. Data processing seniors will conduct a

separate training for the data entry module. Since ETS is being entered in special software and the background questionnaire is in a Nielsen customized entry program a special training is required. 5-10 members will be trained for the data entry purposes after considering dropouts etc. There will be a three day training session on the data entry program at the end of the interviewer training. Pilot interviews will be used to test the data entry program and logical and range checks etc.

**Scorer training:** Scorers for the literacy booklets will be trained towards the end of the interviewer training period, or just after the interviewer training, by the Chief Scorer with the help of research assistants. Pilot interviews will be used in addition to the anchor booklets techniques. Two days training will be conducted for the background questionnaire and literacy exercise.

#### **8.4 Interviewer Supervision Procedures**

#### **8.5 Number of Supervisors**

The STEP main study will have tentatively 110 Interviewers and 23 Supervisors who will be supervised by a Senior Field Executive, who comes under the Field Manager.

##### **8.5.1 Supervisor Responsibilities**

As mentioned in TOR, Nielsen will ensure that there is a rigorous supervision process and mechanism (including spot-checks) in place to ascertain an appropriate implementation of the survey (verifying adherence to the sample selected), correct implementation of tests and adherence to established interview protocols. In particular, the supervisors 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 the households by telephone in each interviewer assignment. The households involved in the verification process will be randomly selected within each PSU.

However, the telephone penetration in rural areas is very low. In our experience significant levels of respondents in Sri Lanka do not agree to share their telephone numbers and even we can't expect the respondent to share cell numbers. Since many information has been included with more than two hrs. Interview getting a telephone number will be a challenge for some respondents. So we suggested 25% revisits and 5% by telephone to be more realistic.

If any interviewer's work is found to be suspicious, the interviewer will be dismissed and all of the interviews done by that interviewer will be redone in their entirety. Nielsen suggests if suspicious work is confirmed then those interviews have to be carried out again with replacement samples, since re-interviewing is not acceptable by the same respondent and those aspects will be discussed in a later stage. As commented by the WB team, if the interviewer has actually been in the HH, the HH can be replaced, but if the interviewer made up the

answers without being in the household, or made up all the individual answers, the original HH should be used.

As presented and discussed during the Washington training, wherever possible the supervisors will have to carry out the selection of the households (second stage of the sampling design) in their respective PSUs, as newly recommended in the Technical Standards for the Design and Implementation of the STEP survey. They will submit the listings of dwellings and the corresponding sample selection to the Senior Field Executive.

The supervisor will also be in charge of following-up with the households which refused 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.

Each of the Supervisors will supervise about 3 - 4 interviewers. The supervisors' responsibilities will include:

- Attend and participate in the interviewer training
- Assign cases to their interviewers and monitor their productivity and expenses etc.
- Hold a weekly meeting with each interviewer to review the status of each of their cases, find out how much they have worked, review any problem situations, and motivate them to finish on time; they will also need to be available to receive calls from interviewers who have problems throughout the week
- Monitor the progress of data collection, review nonresponse reported by the interviewers, and implement reassignment and conversion procedures
- Review interviewers reporting of time and expenses
- Perform 15-25% validation of a designated fraction of each interviewer's work by visiting and telephoning the respondent and asking a brief set of questions
- Edit the data collected from each interviewer if required
- Report to the Senior Field Executive/ Manager on a weekly basis (or more frequently if a problem arises) on the progress of the survey in their district/province

Progress Reporting:

Nielsen will submit to the WB Team a data file containing all the entered survey data to date bi weekly.

<b>I agree with the above,</b>	
<b>HALIL DUNDAR</b>	<b>Signature:</b>
<b>JINENDRA KOTHALAWALA</b>	<b>Signature:</b>

## 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**

Sri Lanka 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

Sri Lanka will print a 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,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**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.
    - (1) ‘International Standard Classification of Occupations (ISCO 08)’ will be used to code the occupation variable. The level of disaggregation will be 3-digit.*
    - (2) ‘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**

The responses from the Household Questionnaire and the Assessment Scoring Sheets will be manually keyed from the completed questionnaire. Each item in the respondent literacy assessment booklets will be transcribed/transferred to a pre designed scoring sheet that will be entered in to the specially designed entry program by the ETS.

Initially it was discussed to look at the two data entry programs to be used: one (written with Excel macros) for the household survey questionnaire, and a second one (provided by ETS) for the literacy module.

However due to technical soundness and other issues Nielsen will design and develop its' own program by using CSPro to enter the household questionnaire and the ETS modules will be used as it is. The ETS will provide very basic training to the team leader in using the entry program.

Due to budget limitations data entry concurrently with the field work will not be feasible and data entry in the central location will be implemented on an average of 7-14 days lag between the survey and the data entry time.

The country's survey team is expected to transmit the collected survey questionnaires to the Nielsen head office for the data preparation process.

1. Nielsen will 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 will also have a unique code which should be recorded for all questionnaires
2. The start and end time of the whole survey will be entered
3. If respondents are willing to cooperate for the follow-up purposes, the land/cell phone number of the individual respondent will be recorded

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 and the visit history on the back cover will be filled.
2. household accepts interview, but there are no qualifying adults in the households - cover page, first 5 questions of the 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 general booklet).
4. 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
5. household accepts interview, there are qualifying adults, selected adult starts the interview:

does not complete the full household questionnaire but completes the general booklet (probably not applicable, given that the literacy module is at the end of the questionnaire)

6. 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/back page. Situations 4-6 are in-betweens.

The country's survey team is expected to transmit the collected data weekly to the World Bank, starting with the first week of data collection. However, due to fieldwork/coding procedures, the data collected from the first week of fieldwork will start be keyed-in within 10 days of receipt only.

Questionnaires with errors discovered during the data entry process will be sent back in the field for corrections (if necessary) within 9 days.

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

### **9.2.2 Data Capture System Test**

The data capture specifications and system will be identified by the Core team and designed and tested before implementation by Nielsen. 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**

Initial TOR didn't have double scoring as well as double data entry. However, after technical discussions with the Core team and ETS it was decided to go for the higher standard and re-estimate the resource requirement implications etc. With that assumption Nielsen is ready for the data capture of the Background Questionnaires (paper and pencil) and Assessment scores with 100% verification. The data capture will be done twice, by two different operators. All differences in the captured data will be resolved.

### **9.3 Coding**

Uniform coding of the background questionnaire and literacy assessment data is essential.

literacy assessment data is automatically generated in to the International Record Layout codes by following the procedures introduced during the Washington training session

Background Questionnaire data will be prepared in the Stata files or SPSS formats.

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

Each respondent's occupation will be coded using the '*ISCO Job Titles*' ([International Standard Classification of Occupations -ISCO 08](#)).

The '*International Standard Industrial Classification Of All Economic Activities, Rev 4.*' will be used to code the industry variable.

### **9.4 Scoring Task Booklets**

The assessment instrument will be scored using the Scoring Guides provided by the STEP Consortium and since those guidelines were introduced after the technical proposal, Nielsen would like to bring to your attention that some of the procedures are highly costly and since the Core team needs those high standards in principal it was agreed to be followed given the relevant time and cost implications.

#### **9.4.1 Recruiting and Training Scorers/Coding staff**

Recruiting qualified scorers to evaluate responses is crucial to the success of the assessment. The scorers selected will be required to hold post-secondary education. Three to five scorers will be hired and trained to score the STEP pilot instruments as well as background questionnaires.

#### **9.4.2 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.

#### **9.4.3 Documenting the Scoring Process**

As presented during the Washington training, there are many steps and procedures involved in the scoring process. All aspects of the scoring constructed responses will be documented. In addition to warehousing the actual literacy booklets, Nielsen will keep the files of all the training materials and inter-scorer agreement reports for a period of 3 months.

## **9.5 Creation of International Data File**

As stated earlier, Nielsen will design and develop its' own program by using CSPro to enter the household questionnaire and the final dataset will be provided in Stata/SPSS. The ETS modules will be used as it is. ETS provided very basic training to the team leader in using the entry program and it will be automatically converted in to the IRL specifications.

### **9.5.1 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.

#### **9.5.1.1 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.

#### **9.5.1.2 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.

<b>I agree with the above,</b>	
<b>HALIL DUNDAR</b>	<b>Signature:</b>
<b>JINENDRA KOTHALAWALA</b>	<b>Signature:</b>

## 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 countries 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 Sri Lanka probability sample design.

Given that the World Bank team was in touch with DCS for the first stage selection of PSUs, the WB team will ensure that the STEP Consortium is provided any data that is necessary for the calculation of the survey weights. For example, the team must provide a file of the expected number of households per EA (from the original sample) and the actual number found by listing the households in the selected PSUs.

However, given that the burden of this task falls on DCS, if DCS will not be responsive in this task, then Nielsen will do its best to find estimated counts from publicly available sources (this might be a burden in the Northern and Eastern areas, for which reliable figures are difficult to get).

Survey weights will be calculated by the STEP Consortium 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**

Sri Lanka team (the WB team and the firm) will do its best to provide the most recent counts of the benchmark variables to the STEP Consortium (see concerns expressed in 10.1 above). These counts are the most recent known population totals for the variables, age, gender, and education. The counts will be from a reliable current source of data such as a recent Census or other recent national survey. If the most current known totals of the benchmark variables is from the sample frame used to select the STEP sample then the benchmark weights will be created using the data from the sample frame.

The Sri Lanka team expects from the STEP Consortium a detailed list/table of data needed for creating the benchmark weights as soon as possible. Given that the availability of these data will depend largely on DCS, the Sri Lanka team would like to start the process of requesting



these data earlier rather than later.

I agree with the above,

HALIL DUNDAR

Signature:

JINENDRA KOTHALAWALA

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) Outline the country's data confidentiality requirements

In Sri Lanka there is no legal act on the surveys. Nielsen is following ESOMAR policies. Please refer <http://www.esomar.org/knowledge-and-standards/codes-and-guidelines.php> for more details. The interviewers and interviewer supervisors will be signing the confidentiality clause as a condition of employment.

The STEP data collects personal information from respondents. It will be managed on a voluntary basis. ESOMAR policies require the protection of the identities of individual respondents and in the final dataset that information will not be included. A separate dataset will be handed over with a confidentiality cover note and will not be released to anyone other than the Core STEP team members. 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 is available to all users at the cost of reproduction.

In addition, the STEP data collection is subject to **ESOMAR** guidelines which require very strict procedures for handling and securing personal data. Data will not be published or delivered in such a way that a respondent's identity can be revealed.

As mentioned in 8.1, all prospective respondents in the survey will receive an introductory letter that will include information about the survey. The letter will inform the respondents about their rights under the ESOMAR guidelines, 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. If a respondent is under the age of 18, both the

respondents and their parents/guardians will receive introduction letters. Parents/guardians on behalf of a respondent under age 18 have the right to decline their participation in the STEP survey.

2) 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.

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,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**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. 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. Mr. Jinendra Kothalawala - National Project Manager, responsible for the overall management of the STEP and responsible for survey design and implementation
2. Mr. Prassana Gunathilaka - Field Unit Head, responsible for the overall field operations and quality control aspects
3. Mr. Gaminie Kumanayaka - Senior Field Executive, the responsible for the field operations
4. Ms. Sharminie Gamage - Data Processing Manager, responsible for the processing of the STEP data and the creation of the STEP International Data File

##### **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 conducted with a non-probability sample of 21 members of the target population.
- A qualitative pretest was conducted among 32 members of the target population
- A pilot survey was conducted among 34 members of the target population

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

#### **Assessment Instrument**

The Assessment Instrument provided by the STEP Consortium. The instrument was adapted and translated to Sinhala and Tamil, and the translation and cultural adaptation of the assessment items will be carried out according to the guidelines prepared by the STEP Consortium.

Translated instruments 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, the directives, the graphics, the response format and the text format. ETS will take the responsibility of preparing the final materials in PDF and the print quality will be the same as in the master English Assessment Instrument provided by the STEP Consortium.

ETS will take the responsibility of reviewing, converting and approving the English, Sinhala and Tamil (official languages) Assessment Instruments back and forth many times based on feedback from the Nielsen team and STEP Consortium will finally review and approve it.

### 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. 3000 samples will be included in the survey.

As mentioned earlier, the sample selection of one target person within a selected household will be carried out by the interviewer using a random selection method, by using a random number table to ensure the uniformity in the selection procedures. This sub-selection

procedure will be verified for a sample of five percent of the interviewer's assignment by a supervisor.

#### 5) **Data Collection**

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

Mr. Prasanna Gunathilaka, the STEP Field Unit Head will be responsible for the overall data collection and quality assurance for :

- Hiring, training, monitoring and control of data collection staff, such as interviewers and interviewer-supervisors
- Customizing the interviewer materials
- Developing and implementing the data collection procedures
- Quality control

Mr. Gaminie Kumaranayaka will be involved in the operational level activities under Prasanna

- Classroom training and a home study program for all interviewers
- Regular meetings between interviewers and supervisors
- Sample Verification of supervisors works
- Interviewer Observation Program

#### 6) **Data Processing**

The following overall quality assurance procedures will be carried out by the research assistants, chief coders and the data administration senior staff members:

- a) Test of the data capture system
- b) 100% verification the captured data
- c) A 100% verification of coders' work
- d) Development and implementation of scoring quality control procedures to ensure inter-scorer agreement
- e) Creation of the STEP International Data File according to the record layout specifications provided by the STEP Consortium
- f) Data Editing

**I agree with the above,**

**HALIL DUNDAR**

**Signature:**

**JINENDRA KOTHALAWALA**

**Signature:**

**Rationale**

**STEP Standard**

## Rationale

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.

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.

[illegible]

--

I agree with the above,	
HALIL DUNDAR	Signature:
JINENDRA KOTHALAWALA	Signature:



#### 14.0 BUDGET - EDITED

##### **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 Nielsen financial proposal (based on the initial contract signed in August 2011) for the STEP study in Sri Lanka is summarized in the following table:

Budget Estimate – STEP	
Item	Estimated Expenditures (SLRs) <b>EDITED FOR ARCHIVING</b>
1) Project Key Personnel Remuneration	
2) Field Interviewers-Field work in 200 PSU	
3) Field Interviewers-10 days training	
4) Field Supervisors/ Field work 200 PSU	
5) Field Supervisors/ 10 days training	
6) Field Supervisors involvement in 23 prepilot 25 qualitative pre test and 30 pilot test etc	
7) Experienced Area Supervisors	
8) Chief Coder	
9) Coders	
10) Data entry operators and data cleaning staff	
11) Accommodations/hotels/meals	
12) Local transportation costs-for interviewers/ Supervisors and field members	
13) Local transportation costs-for professional team	
14) Communications, courier charge etc.	
15) Translations, and back translation, typesetting related cost	
16) Questionnaire, other material roneo,	

	printing, photocopying etc.		
	17) Training related cost (venue, accommodation, food and beverages, hall charges etc. and facilities) 10 days		
	18) Facilities for DCS for Cartography and FI forms etc./Voters list/groohamoolika Laisthu, copying, arrangements etc.		
	19) Miscellaneous		
	TOTAL Estimated Expenditures		

#### Additional Budget

As dicussed with TTL and core team the additional budget is as follows.

Revised  
Estimate  
**EDITED  
FOR  
ARCHIVING**

Broader Issue 1- Time cost

Broader Issue 1- Other cost

Broader Issue 2-1 ETS printing standard

Broader Issue 2-2 ETS Stop Watch standard

Broader Issue 2-3 ETS Other data coding and entry related standard

<b>I agree with the above,</b>	
<b>HALIL DUNDAR</b>	<b>Signature:</b>
<b>JINENDRA KOTHALAWALA</b>	<b>Signature:</b>