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

BOLIVIA

21 October 2011

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STEP Survey

INSTRUCTIONS TO COMPLETE THE NSDPR

Grey Boxes	The grey boxes will be used for (A) Background information for the section (B) Outline of the required information (C) Agreed standards as required by the Terms Of Reference (TOR) NO changes required. Occasionally, the survey firm will be required to fill basic information (such as the name of the country) within these boxes. These situations will be signaled by being written in blue between the '<' and '>' characters (e.g. <Country>)

Green Boxes	Information that needs to be filled out by the Task Team Leader for the World Bank country team. 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.

Yellow Boxes	Information that needs to be filled out by the Project Manager on behalf of the survey firm / agency. 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. If a yellow box contains both text and empty spaces, please refer to the document '*National Survey Design Planning Report [with examples]*' in order to understand what information the countries are required to add. 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. FIRMS/AGENCIES SHOULD ADJUST THESE SECTIONS BASED ON THE COUNTRY'S EXPERIENCE.

Orange Boxes	TASK TEAM LEADERS and PROJECT MANAGERS – Please fill in and read carefully the whole document. Being based on the TOR and technical proposals of each country, it is a binding document on implementation procedures. After ensuring that each box accurately reflects the implementation procedures, both Task Team Leaders and Project Managers are required to sign in the appropriate boxes under each section.

Table of Contents

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.

a. Stylized facts of the current educational and employment situation in Bolivia:

- During the last two decades, Bolivia faces simultaneous high and persistent poverty and income inequality.
- Important achievements in education were reached with the Education Reform, implemented as part of the structural program reform in the nineties. Access and attendance to primary school improved, but the improvements are modest at the secondary level of education and still remain a challenge to public policy.
- Despite the achievements, substantial educational gaps prevail. In 2007, population greater than 19 years old in main cities had a mean of 11 years of education, while indigenous women had 5.3 years.
- At the end of 2008, a nation-wide program of literacy to adults was implemented and the country was declared "illiteracy free".
- The labor force growth is greater than the dynamics of job creation. In this context, self-employment is the main strategy for subsistence of the poorest people.
- Most informal jobs are low productivity and low income. Many people in this type of work don't take full advantage of their skills.
- The wage evolution in the formal sector is not concordant with prices' evolution. Remunerations grow slowly and the prices of the food basket are rising quickly.
- There are few public policies to stimulate access to better jobs.
- Income inequality translates into gaps in earnings, labor conditions, assets and other variables.
- The understanding of the relationship between the skills and the well-being distributions will inform the design of employability and productivity policies that the country needs to reduce poverty and inequality.

b. The literacy assessment is a new field of research in Bolivia. There are no previous studies in this issue.

2.0 PROJECT TEAM

STEP Standard

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

Rationale

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

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

2.1 Qualifications and Expertise of the Survey Institute.

Report Requirement

1. Identify the leading survey institute.

Real Data is a private enterprise in the field of social surveys and studies, established since 2005 in Bolivia. The enterprise´s reputation is growing fast, based on the efficiency, the veracity, rigor and transparency in their work. Real Data personnel have a vast experience in the field of planning and implementation of surveys.

The enterprise´s Headquarter is located in La Paz and they have capacity to displace field work teams to the cities covered by the STEP survey. Most of the interviewers and supervisors have prior experience with labor force surveys, and the coders are familiarized with the use of statistical classifications (mainly occupation and economic activity).

Real Data has conducted several studies related to employment, unemployment and working conditions. In those one should highlight the labor force surveys 2008 - 2010 in the main

cities. These studies allowed gain expertise in the following topics:

- In the approach and the data collection with specialized and trained team;
- In the use of classifications to occupation and economic activity, analyzing of the complex and heterogeneous forms of the employment in the informal sector; and
- In the information processing with the use of specialized programs

2. Provide an overview of the qualifications and expertise of the key project team members.
   a) Indicate whether or not the key team members will work full-time on STEP.

Position/name	Qualifications and specific expertise
Project Director. Giovanna Hurtado Aponte	Ms. Hurtado is a Business Manager with certified in quantitative methods for economic analysis in the Bolivian Private University and Software application programmer. Since April 2005 has performed a range of duties, including technical staff member, legal representative and general manager of the company REAL DATA SRL. Ms. Hurtado is responsible for the design of quality and quantitative studies; the quality control of training processes, pilot testing, information validation; questionnaire design, systematization and analysis, and survey implementation.
Employment Specialist. Silvia Escobar	Sociologist, senior researcher, specialist in employment and labor markets subjects. Ms. Escobar has a vast experience in the analysis of labor market, informal sector, underemployment, unemployment. Was executive director of CEDLA.
Senior Psychologist. Carla Velasco	Graduate in Psychology, holds a master degree in Organizational Management and two Diploma courses. Has worked as consultant to NGOs and private enterprises in the human resources area. Mrs. Velasco has developed expertice in assessment tests to analyze the cognitive and non-cognitive profiles.
Assistant Psychologist. Vania Ortiz	Graduate in Psychology, holds a Diploma in Human Resources Management. The last years had worked as consultant in human resource area of NGO´s. Has worked in the Labor Ministry analyzing competencies of

	postulants to new jobs in a program of employments placing.
Data Processing Manager. Wilson Rojas	Mr. Rojas is a Business Manager with certified in quantitative methods for economic analysis. Currently is part-owner of Real Data, working in the direction of research and economic and social studies. Has worked in programming and data processing of complex surveys. In addition, has worked in the statistical analysis, writing reports.

A local short term consultant of the World Bank, with experience in household surveys planning and analysis, will assist in all methodological issues, working and supervising the achievement of all STEP technical standards.

b) Include names and types of surveys conducted.

Assignment name: Lucha contra la violencia de género y salud sexual y reproductiva, a través de la aplicación efectiva de las políticas públicas, el fortalecimiento de redes regionales especificas y la vigilancia ciudadana, en Bolivia, Ecuador y Perú	**Name of Client:** FUNDACIÓN ESPAÑOLA PARA LA COOPERACIÓN SOLIDARIDAD INTERNACIONAL	**Start date (month/year):** Nov 2010 **Completion date (month/year):** Ene 2011
Assignment name: Encuesta de percepción sobre burocracia y atención al usuario en el Gobierno Municipal de La Paz	**Name of Client:** GOBIERNO AUTÓNOMO MUNICIPAL DE LA PAZ	**Start date (month/year):** Nov 2010 **Completion date (month/year):** Dic 2010
Assignment name: Estudio cuali - cuantitativo de percepciones de la población boliviana, ONG's, Organizaciones Sociales, Cooperación Internacional e instituciones del Estado sobre la efectividad de la ayuda de la Cooperación en Bolivia	**Name of Client:** UNITAS (Unión Nacional de Instituciones para el trabajo de Acción Social)	**Start date (month/year):** Jul 2010 **Completion date (month/year):** Mar 2011
Assignment name: Estudio sobre desempleo en Bolivia 2010 (tercera versión)	**Name of Client:** CEDLA (Centro de Estudios para el Desarrollo Laboral y Agrario)	**Start date (month/year):** Mayo de 2005 **Completion date (month/year):** Junio de 2005
Assignment name: Trabajo de campo de estudio comparativo REDD a nivel Bolivia	**Name of Client:** CIFOR - CEDLA	**Start date (month/year):** Abr de 2010 **Completion date (month/year):** May 2010
Assignment name: Estudio de Percepción sobre el Bono Juancito Pinto	**Name of Client:** UDAPE - UNICEF	**Start date (month/year):** Oct 2009 **Completion date (month/year):** Ene 2010

Assignment name: Encuesta de percepción sobre burocracia y atención al usuario en el Gobierno Municipal de La Paz	**Name of Client:** GOBIERNO MUNICIPAL DE LA PAZ	**Start date (month/year):** Oct 2009 **Completion date (month/year):** Dic 2009
Assignment name: Estudio Cuantitativo de percepción de demanda ciudadana (Primera y Segunda Parte)	**Name of Client:** GOBIERNO MUNICIPAL DE LA PAZ	**Start date (month/year):** Jun 2009 **Completion date (month/year):** Dic 2009
Assignment name: Estado de Situación de las Mancomunidades de Bolivia	**Name of Client:** FAM BOLIVIA; INTERCOOPERATION	**Start date (month/year):** Jun 2009 **Completion date (month/year):** Sep 2009
Assignment name: Estudio cuantitativo de percepción sobre el trabajo del Honorable Concejo Municipal e Intención de voto.	**Name of Client:** HONORABLE CONSEJO MUNICIPAL DE LA PAZ	**Start date (month/year):** Jul 2009 **Completion date (month/year):** Ene 2010
Assignment name: Encuesta para el Índice Latinoamericano de Transparencia Presupuestaria	**Name of Client:** FUNDAR México - CEDLA	**Start date (month/year):** Ago 2009 **Completion date (month/year):** Ago 2009
Assignment name: Estudio cuantitativo sobre desempleo en las ciudades de La Paz, El Alto, Santa Cruz, Cochabamba	**Name of Client:** CEDLA (Centro de Estudios para el Desarrollo Laboral y Agrario)	**Start date (month/year):** Jun 2009 **Completion date (month/year):** Jul 2009
Assignment name: Estudio sobre Desayuno Escolar en Bolivia	**Name of Client:** FAM BOLIVIA - SADEL	**Start date (month/year):** Oct 2008 **Completion date (month/year):** Dic 2008
Assignment name: Evaluación Línea de base sobre Interculturalidad	**Name of Client:** UNIR Bolivia	**Start date (month/year):** Jul 2008 **Completion date (month/year):** Sep 2008
Assignment name: Estudio cuantitativo sobre desempleo (Primera versión)	**Name of Client:** CEDLA (Centro de Estudios para el Desarrollo Laboral y Agrario)	**Start date (month/year):** Mar 2008 **Completion date (month/year):** Abr 2008
Assignment name: Estudio cuantitativo y cualitativo sobre el nivel de conocimiento y actitudes acerca del trabajo de niños, niñas y adolescentes en Bolivia.	**Name of Client:** OIT – IPEC - CEDLA	**Start date (month/year):** Oct 2007 **Completion date (month/year):** Mar 2008
Assignment name: Estudio cuantitativo y cualitativo sobre el Sistema de Pensiones en Bolivia.	**Name of Client:** CEDLA	**Start date (month/year):** Nov 2007 **Completion date (month/year):** Dic 2007

Assignment name: Censo de unidades Económicas en la ciudad de Oruro	**Name of Client:** FAM BOLIVIA – ACEDI - GOBIERNO MUNICIPAL DE ORURO	**Start date (month/year):** Oct 2007 **Completion date (month/year):** Ene 2008
Assignment name: Estudio cuantitativo y cualitativo sobre percepción inicial, expectativas y evaluación final ciudadana y pública municipal sobre el tratamiento y avance de los ODM's en 6 municipios del país	**Name of Client:** FAM BOLIVIA	**Start date (month/year):** Jun 2007 **Completion date (month/year):** Oct 2007
Assignment name: Diagnóstico sobre la situación de niños, niñas adolescentes y sus familias en la cadena productiva de la Castaña.	**Name of Client:** UNICEF – HIVOS - CEDLA	**Start date (month/year):** Mar 2007 **Completion date (month/year):** Abr 2007
Assignment name: Línea de base. Encuesta sobre Interculturalidad	**Name of Client:** UNIR BOLIVIA - FUNDACIÓN CASA COMÚN	**Start date (month/year):** Jun 2006 **Completion date (month/year):** Jul 2006
Assignment name: Estudio sobre percepciones, expectativas para la Asamblea Constituyente, Autonomías departamentales y Evaluación al nuevo gobierno.	**Name of Client:** CEDLA	**Start date (month/year):** Jun 2006 **Completion date (month/year):** Jul 2006
Assignment name: Censo a Centros PAN y Centros Niños de la Calle	**Name of Client:** PROGRAMA MUNDIAL DE ALIMENTOS (PMA)	**Start date (month/year):** Nov 2005 **Completion date (month/year):** Dic 2005
Assignment name: Dimensionamiento de la demanda potencial del Leasing por la Micro, Pequeña y Mediana empresa	**Name of Client:** USAID - Proyecto PREMIER	**Start date (month/year):** Sep 2005 **Completion date (month/year):** Nov 2005

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

None

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

2.2 Project Structure

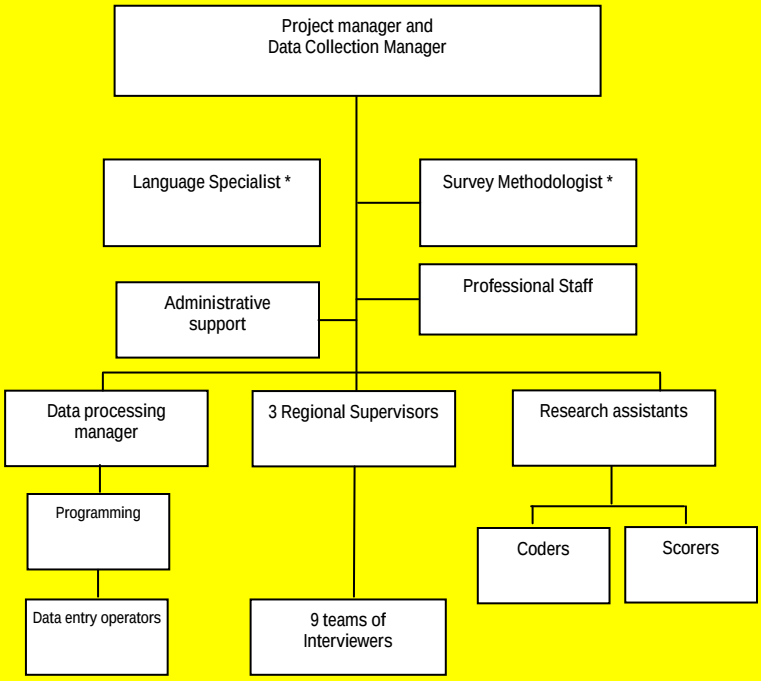
Report Requirement

1. Identify the sponsoring organization

STEP project in Bolivia is sponsored entirely by the World Bank.
In the stage of the project´s design technical meetings were held with the *Unidad de Análisis de Política Económica y Social* (UDAPE), a multi-sectoral decentralized institution dependent of the Planning and Development Ministry of the government of Bolivia. In the future, UDAPE could use the information of the STEP Project to analysis of public policies.

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

Position/name	Key functions
Project Director. Giovanna Hurtado Aponte	Logistic Operations Design, Quality Control processes and Instrument review. Coordination of technical and logistical activities. Communication with the World Bank team. Will work full-time in the project.
Employment Specialist. Silvia Escobar	Responsible of reviewing and adjusting the employment module in the Survey.
Senior Psychologist. Carla Velasco	Review of the CORE booklet and literacy exercises. Guide the interviewer training course.
Assistant Psychologist. Vania Ortiz	Assist in the training for socio emotional and cognitive skills survey application.
Data Processing Manager. Wilson Rojas	Responsible of Information Supervision and Quality Control, computing equipment, programming of data entry; Cartography; and Instrument Review and Adjustment. Will work full-time in the project.
Language Specialist. Ana María Oviedo	Review of translations of questionnaires, manuals and all technical documentation related to field operations of the STEP survey. Review of redaction, clarity and coherence in the survey questionnaire (order of questions, response categories, instructions to interviewers,skip patterns, etc.).
Survey Methodologist. Javier Monterrey Arce	Supervise the fulfillment of international standards for the STEP surveys, with special focus in sampling, field operations, coding and data cleaning.



(*): Technical support of the World Bank

The professional staff is composed by the Employment Specialist, Senior Psychology and Assistant Psychologist. At the top in the chart, the same person will work as project manager and data collection manager. In the case of regional supervisors, are three persons working in his respective cities (La Paz-El Alto, Cochabamba and Santa Cruz) are not simultaneous working in the field work.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

3.0 SURVEY OBJECTIVES

STEP Standard

The STEP research program has two international objectives:

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

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

Rationale

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

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

3.1 Major analytic objectives

Report Requirement

1. Include a list of the STEP international objectives.

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

Against this background, the World Bank launched a multi-country research program that finances country-level studies to determine how different skill sets affect individuals' labor market opportunities. The studies are expected to fill critical knowledge gaps on the role and demand for different types of skills sets in the labor market and assist in the design of tailored education and training policies to boost employability and productivity.

The research program has the following two objectives:

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

3.2 Country-specific objectives

Report Requirement

1. Provide a list of the 'country-specific' objectives

- Analyze the set of skills and compare employment outcomes in indigenous people with respect to non-indigenous.
- Analyze the set of skills in the labor force currently working in the informal sector.
- Compare the first and current occupation, to analyze underemployment and occupational mobility in the labor force.

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

- Bolivia is a multi-ethnic country. Indigenous people not have similar educational and labor opportunities as non-indigenous, reducing the probability to escape out of the poverty.
- Near 70% of the labor force works in the informal sector. The study will provide insights to design of public policies to promote a improvement of skills in a wide labor force segment and to foster productivity.
- Near 90% of the labor force in main cities has a job, but is working in underemployment and precarious conditions.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

4.0 SAMPLE DESIGN FACTORS

4.1 Target Population

STEP Standard

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

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

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

Operational Definitions

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

Rationale

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

Report Requirement

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

   The following are considered "institutionalized" and therefore excluded from the STEP survey:
   - Residents of Institutions (prisons, hospitals, etc.)
   - Residents of Senior Homes and Hospices
   - Residents of other group dwellings such as college dormitories, halfway homes, workers' quarters, etc.

   Other exclusions from the target population that are acceptable are:

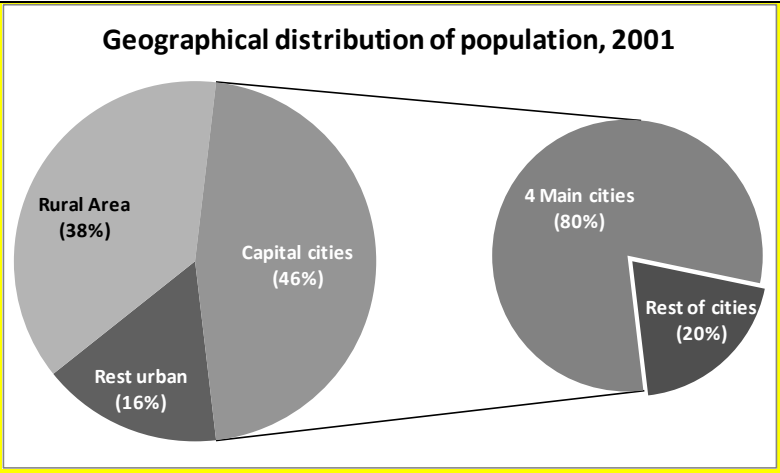
   1) Persons living outside the country at the time of data collection, e.g., students at foreign universities.
   2) Members of the population who are unable to complete the STEP assessment due to a physical or mental condition, e.g., visual impairment or paralysis.

Bolivia's Target Population Description

The STEP target population comprises all non-institutionalized persons 15 to 64 years of age (inclusive) living in main capital cities of the country at the time of data collection. The cities that will be covered are: La Paz, El Alto, Cochabamba and Santa Cruz de la Sierra (named in Spanish "eje troncal", recognizing his demographic importance and geographical location). La Paz and El Alto are the two dominant cities in the Andean area, Cochabamba in Sub-Andean or Valley area and Santa Cruz de la Sierra in Lowlands. Hence, the three geographical areas in the country will be covered by the STEP survey.

Bolivia has an urbanization process with typical characteristics, because population concentration is mainly located in four cities, not in only one and most important city (as was experienced in neighbor countries). It´s important keep in mind the urban area is made up by locations above 2000 inhabitants, as was defined by the Latin-American round of population census in seventies.

According to the last census, in urban area lives 62% of population (46% in capital cities and 16% in rest urban or small cities) and 38% in rural area. The four main cities represent 80% of population living in capital cities and 20% lives in the rest of cities (See the chart below).



The official languages in Bolivia are Spanish, Aymara, Quechua and 34 other native languages, according to the new State Political Constitution. The vast majority of urban population is fluent in Spanish (97.6%) and only 2.4% of the urban population don´t speak Spanish and is fluent in native languages only.

The project faces a low probability of respondent selection that is fluent in only native language, but if this situation occurs, the survey will be applied in native language, except the literacy evaluation. The literacy assessment will be carried out only in Spanish. If the selection of respondent process chooses a person fluent only in native language, the interviewer will translate the questions of individual modules, but will not apply the literacy assessment instrument. The interviewer team will be conformed with persons with capacity to translate to native language.

Operational definitions:

The STEP project will apply the next "standard definitions":

*A **Private Dwelling Unit** is defined as a room or a group of rooms used, or intended to be used, for living purposes. A dwelling unit must be capable of permanent human habitation and must have a private entrance either outside or from a common hall, lobby, vestibule or stairway inside the building. A private entrance is one that can be used without passing through the living quarters of someone else.*

*A **household member** is a person who*

1) *considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;*
2) *makes some common provision for food and other essentials of living;*

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.

2. Specify any special additions to the target population.
   a) Include the relevant background and rationale for additions.

There are no special additions to the STEP survey in Bolivia.

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

Population by city, 2001

City	Population	Percent
La Paz	204,090	27.59
El Alto	164,634	22.25
Cochabamba	123,391	16.68
Santa Cruz	247,710	33.48
Total	**739,825**	**100**

Source: Computed from the Census of Population and Housing 2001.

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

While not all capital cities are covered by the survey, all geographical areas are represented by the four capitals where will be possible analyze the set of skills, his distribution and the relation with outcomes in the labor market.

The main demographic and economic dynamics are driven by the four cities covered by the STEP survey. The other six capital cities not included have small number of inhabitants and less structured labor markets. In sensu stricto the results of the survey will be representative of the whole capital cities and will not represents a group of small cities whose characteristics are closer to rural area with agglomeration of dwellings than urbanized cities.

The Census 2001 is the sample frame for the first stage of selection and provide a complete list of census sectors in the four cities to be surveyed, hence the frame is complete and there is not exclusion of particular areas or population groups.

4.2 Method of Data Collection

STEP Standard

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

All components of the literacy assessment must be administered in the same visit (i.e.,

General Booklet and applicable Exercise Booklet).

Rationale

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

Report Requirement

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

Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method.

All components of the literacy assessment will be administered in the same visit (i.e., General Booklet and applicable Exercise Booklet).. It means that interviewer can´t apply the general booklet in one interview and continue with the literacy exercises in a second interview. The firm will offer to the respondent the possibility of use a separated rooms to carry out the application of the literacy assesment, isolating the respondent of possible interruptions, noises and any distracting aspects.

The STEP survey questionnaire has different blocks of questions.

- To gather information of the household roster and housing will apply a “face to face” interview using an indirect respondent, it means, one household member will respond about general data of himself and all other members
- Modules of employment, education, health will apply a “face to face” interview using a direct respondent. One household member will be selected using a random procedure and this person will respond about himself. Indirect respondent will not be admitted for these modules.
- To the literacy assessment will apply a “self administration” method to gather information. The selected household member should provide his/her answers writing or underlining directly into the booklet, under supervision of the interviewer.

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 <Bolivia> is expected to be <50%>. The response rate shows the fraction of population that accepts the survey and gives response to the questionnaire in all modules. In other terms, the response rate is defined as the number of complete questionnaires divided by the total number of individuals in the sample selection. For this study the response rate is higher than other traditional household surveys, considering the length of the questionnaire, the complexity of realization of interviews with the literacy assessment. To reduce the non-response rate, the firm will give a cellular debit card as presents to respondents.,

If the informant fails responding to the literacy assessment (general booklet) this case could be interpreted as critical weakness of skills to read and understand, with limited capability to execute basic and specific instructions. Hence, these persons are in the lowest tail in the distribution of distribution. This concept of failure rate is taken in account in the sample size calculation.

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' or an observational listing of dwellings in each selected PSU (see OM for details).

Rationale

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

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

Report Requirement

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

1. Sample Frame

   a. **Type:** The STEP survey will use a list of geographic units at level of census sectors to implement the first stage of sample selection. Previous to the selection in second stage at households level, the firm will work constructing a complete list of dwelling in sectors selected in the first stage.

      In the first stage the STEP survey will use a stratified sample frame. The criteria to stratify the frame is a composed wealth index (see subsection C to the explanation of this index). In second stage, the listing of dwellings will provide an updated frame of

private dwellings to apply random selection.

b. **Source:** The source of the sample frame in the first stage is the 2001 National Census of Population and Housing, realized by the National Institute of Statistics. Currently is planning a new census to 2012 and there is not available updates or population counts after of 2001.

The source of the sample frame in the second stage is the list of dwellings obtained from the listing operation, carried out by Real Data before of the field work. The listing activity will be carried in all census sectors selected in the first stage. One census sector could be composed by two, three or more blocks, all of them will be listed.

c. Definitions of survey units for stage sampling:

First stage – census sector. Specific geographical area, limited by topographical characteristics to allow his identification in to the field. Inside the census-sector the number of blocks and dwellings is not a constant, but in all cases the average is near 130 independent dwellings (excluding collective dwellings).

Second stage – household. Demographic entity composed by one or more persons, with or without familiar relationship, living in a particular dwelling. Members of one household live together sharing a common budget, at least for the food.

Third stage – respondent. Household member, with permanent residence in the selected household, with age 15-64 years old.

Data items on the frame: There is available statistical cartography to identify completely every sector (PSU) in the sample frame at first stage of selection. The set of maps includes perimeter lines of every sector, names of streets and other topographical references to identify these areas in the field. The maps contain codes of census zone, census sector and block numeric and standardized code.The Census 2001 is the sample frame and is available a set of geographic variables: city, census sector, block and the socio-economic stratum.

d. **Variables used for stratification:** The main objective of the stratification is to ensure that all socioeconomic segments in the population will be included in the sample to make a complete analysis of the distribution of skills in the labor force. In absence of income or consumption variables in the census, using the Multiple Correspondence Analysis (MCA) method was computed a composite indicator wealth index, as proxy of household well-being. Variables related to physical assets owned by the household were used:

- Ownership of television, cycle, vehicle, freezer, telephone

The ownership is reported as dichotomous variables (1 = owner, 0= other case) and it´s not plausible to adopt the normality assumptions to apply the Principal Components method, as usually does the computation of traditional wealth index.

To define five socio economic strata, a non-hierarchical clustering method was applied

(kmeans method)..

The welfare distribution at household level, according to the wealth index is:

Socioeconomic status of Bolivian households, 2001

	La Paz	El Alto	Cochabamba	Santa Cruz	**Total**
Poorest	10%	26%	11%	12%	**15%**
Modest poor	31%	50%	24%	23%	**32%**
Middle	34%	17%	30%	36%	**30%**
Modest rich	16%	5%	21%	18%	**15%**
Richest	9%	2%	14%	11%	**9%**
Total households	**204,090**	**164,634**	**123,391**	**247,710**	**739,825**

Stratums of the sample frame are five: poorest, modest-poor, middle, modest-rich and richest.

e. Counts by stratum

Number of Primary Survey Units by Socioeconomic Level

	La Paz	El Alto	Cochabamba	Santa Cruz	**Total**
Poorest	40	279	41	54	414
Modest poor	1,187	2,028	515	631	4,361
Middle	1,292	186	**5.0** 713	**6.0** 2,163	**7.0** 4,354
Modest rich	127	5	244	198	574
Richest	141	2	140	219	502
PSUs in the frame	**2,787**	**2,500**	**1,653**	**3,265**	**10,205**

Source: Computed from the Census of Population and Housing 2001.

f. The PSUs size, defined by the number of households, has a considerable variability.**Quality assurance:** The main weakness of the sampling frame is the age. There is no more recent available frame. Currently, the National Institute of Statistics in Bolivia still uses this sampling frame to design household surveys. Since 2001, all new neighborhoods are not included in the sampling frame and their probability of selection in the sample is zero.

Considering this limitation of the sampling frame, the stratification strategy to sampling was adopted. All new areas have different socioeconomic characteristics, some of these are poor, but in other cases there are new neighborhoods of medium and high socioeconomic levels. Even though these areas are not included in the frame, the stratified sampling allows the inclusion into the sample of households with similar

characteristics.

The operations to upgrade the sampling frame imply a big effort, expensive in time and financial resources too. For these reasons, the activities of the project will not consider the upgrade of the frame.

7.1 Sample size – Full Assessment

STEP Standard

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

- ***A minimum of 2,400 complete STEP interviews for each STEP reporting language target population are required.***
- ***In addition, the final sample must include for each STEP reporting language target population at least 600 completed cases for each of the four exercise booklets.***

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

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

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

Rationale

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

Report Requirement

1. STEP target sample sizes
   a) Provide the country's final sample size goal by sample design variables, e.g., by strata, by PSU, etc..
   b) Provide the country's overall initial sample size, including the size of the reserve sample, by sample design variables, e.g., by strata, by PSU, etc..
   c) Describe the basis for the size of the reserve sample, e.g., non-response expectation, design effect.

2. Provide the rationale for additions to the sample size to satisfy country-specific data analysis objectives.
   a) What are the data analysis objectives? For example, identify the important data breakdowns or survey estimates to be derived from the survey data.

b) What are the precision goals for the survey estimates?

3. Sample monitoring procedure.

a) Describe the planned strategy for monitoring the sample returns to ensure that the sample size goal is achieved.

1) STEP Target Sample Sizes

Final sample size: The STEP survey requires a minimum of 2,400 observations to the literacy assessment. Therefore, a strategy of oversampling will be applied to minimize the non-response rate and the failure rate of the literacy assessment.

The parameters used to the oversampling are:

– 50% of non-response rate (NRR). This estimated non-response rate is higher than other household surveys considering the difficulties of conduct long interviews (the lenght of questionnaire determines duration of interview) and apply instruments to literacy assessment. Inside the non-response rate is considered a small fraction of failure rate in the general booklet. Is not considered the failure rate as independent factor in the computation of oversample because will be variable in socioeconomic strata (poorest could be a lower pass rate and higher response rate, while the richest could be a higher pass rate and lower response rate).

In total, the STEP survey will require an oversample to account for these response parameters.

The formula used is:

$$\square_{\square} = \square\square\square\square\square\ \square\square\square\square \,/_{(\square - \square\square\square)}$$

$$\square_{\square} = \square,\square\square\square \,/_{\square.\square}$$

$$\square_{\square} = \square,\square\square\square$$

The final sample size of 4,800 households considers an oversample to account for a 50% response rate (inside includes a pass rate), to obtain the sample size of complete cases required by the analysis of STEP booklets.

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

1) All modules (1 to 8) in the Household Questionnaire have been administered.

2) All items in the General Booklet were attempted.

3) All items in the assigned Exercise Booklet were attempted.

2) Special additions to the STEP sample size.

None.

3) Sample Monitoring procedure

To monitor the obtainment of the minimum sample and the performance of the field operations, the firm will implement a periodic (weekly) report indicating the survey incidences at PSU´s level. This report will include the number of complete interviews and non-response. Real Data will send this periodic report to the core WB team to tracking the field work.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

8.0 SAMPLE DESIGN

STEP Standard

1) ***A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample must be used. As well, the sample selection process must be objective (i.e. a random selection method must be used) at all stages of sample selection.***

   a) ***The 'preferred' sample design is a multi-stage design that employs sampling with probability proportional to size (PPS) for as many stages as practically possible.***

   b) ***The selection of households (15 original and 15 reserves) within selected PSUs will follow STEP Consortium guidelines.***

   c) ***All countries must use the same procedure for selecting a household within a multi-household dwelling, if applicable. The procedure will be provided by the STEP Consortium.***

   d) ***All countries must use the same procedure for selecting a person within a household. The procedure will be provided by the STEP Consortium.***

Rationale

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

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

Report Requirement

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

Stratification of the sampling frame

As mentioned, the STEP survey in Bolivia uses a stratified sampling. The criteria to stratify was the wealth index, computed at household level considering his assets. The wealth index was categorized in five categories, applying a partition clustering method (kmeans).

After, the agregation of wealth index was computed at the PSU level using the statistics of the mode. It means that the wealth index to every PSU corresponds to the most frecuent socioeconomic category.

Distribution of the sample

The geographical distribution of the sample corresponds to the population weight, according to the projections to 2010 (last year available). It means that the sample is distributed proportionally to the population size.

In every city the sample is proportionally allocated by socioeconomic category of wealth index. Using these criteria, the percentage of PSU per socioeconomic level reflects the structure of households per segments.

The sample frame in the first stage includes the socioeconomic level dominant in every census sector, measured by the wealth index. The selection process in this stage will apply the Probability Proportional to Size (pps) method, to be independently executed for every socio-economic level.

Sample size of PSUs

	La Paz	El Alto	Cochabamba	Santa Cruz	**Total**
Poorest	4	10	3	6	**23**
Medium-poor	14	19	6	12	**51**
Medium	15	7	8	18	**48**
Medium-rich	7	2	5	9	**23**
Richest	4	1	4	6	**15**
Total	**44**	**39**	**26**	**51**	**160**

Source: Own computation

Stages of selection

A multi-stage sampling will be applied to the selection of 4,800 households. Three stages of selection were defined, as follow:

- In the first stage will be selected **160 census sectors**, which are enumeration areas in the census and contains a variable number of blocks and households. The census sectors are the Primary Sampling Units (PSU). The median size of PSU is 72 households, with a maximum number of 143 households. The selection method in this stage will be the

Probability Proportional to Size (PPS).

- In the second stage **30 dwellings per PSU** will be selected, 15 of them are principal selection and the other 15 are of replacement selection. Then, dwellings are the Secondary Sampling Units (SSU). The most common situation in capital cities is that one household occupies one dwelling. If the interviewer finds more than one household in the dwelling, they should interview only one household (applying a random procedure to selection). A list of 30 dwellings will be selected per PSU. A list of dwellings will be available as replacement or reserve selection, to be used to compensate for the non-response cases and rejection to the survey (households that deny his participation to apply the questionnaire). The use of replacement selection should be authorized by the supervisor, verifying the non-response situation.

  The list of dwellings in the PSU selected corresponds to an updated list of dwellings. The listing activity to update the frame will be a field activity before the collection operation.

- The third stage of selection corresponds to the informant selection. After the interviewer has completed the roster with all household members and gather information of the roster, specifically one member of 15-64 years will be randomly selected. The interviewer will prepare a roster of all household members. Then the interviewer will identify and sequentially number on the roster the persons eligible for the STEP interview. The interviewer will then use the random number table provided on the questionnaire to select the person to complete the individual STEP interview.

8.1 Sample Allocation and Selection

The number of primary and secondary sampling units will be selected using proportions of population.

Sample size of PSUs and SSUs

	La Paz		El Alto		Cochabamba		Santa Cruz		**Total**	
	PSUs	SSUs	PSUs	SSUs	PSUs	SSUs	PSUs	SSUs	**PSUs**	**SSUs**
Poorest	4	120	10	300	3	90	6	180	**533**	**690**
Medium-poor	14	420	19	570	6	180	12	360	**1,221**	**1530**
Medium	15	450	7	210	8	240	18	540	**948**	**1440**
Medium-rich	7	210	2	60	5	150	9	270	**443**	**690**
Richest	4	120	1	30	4	120	6	180	**285**	**450**
Total	**44**	**1,320**	**39**	**1,170**	**26**	**780**	**51**	**1,530**	**3,430**	**4,800**

Random Selection of Assessment Exercise Booklet

The STEP Consortium will randomly select one of the four Exercise Booklets to be administered to a respondent. The Exercise Booklet indicator for each selected initial case will be included in Bolivia's sample file.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

9.0 LITERACY ASSESSMENT

STEP Standard

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

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

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

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

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

Rationale

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

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

The STEP Consortium will be responsible for the sampling of first stage sample units for each participating country and will provide a sample file that will indicate the Exercise Booklet to be assigned for each of the sampled cases in the initial sample of <3,000> target population. When there is a non-response case that is replaced by a reserve sample unit, the supervisor responsible for the release of the reserve sample unit will ensure that the Exercise Booklet # assigned to the reserve sample unit is the same as the Exercise Booklet # assigned to the initial sample unit that is being replaced.

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

Report Requirement

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

Bolivia will implement a full literacy assessment in <Spanish>.

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

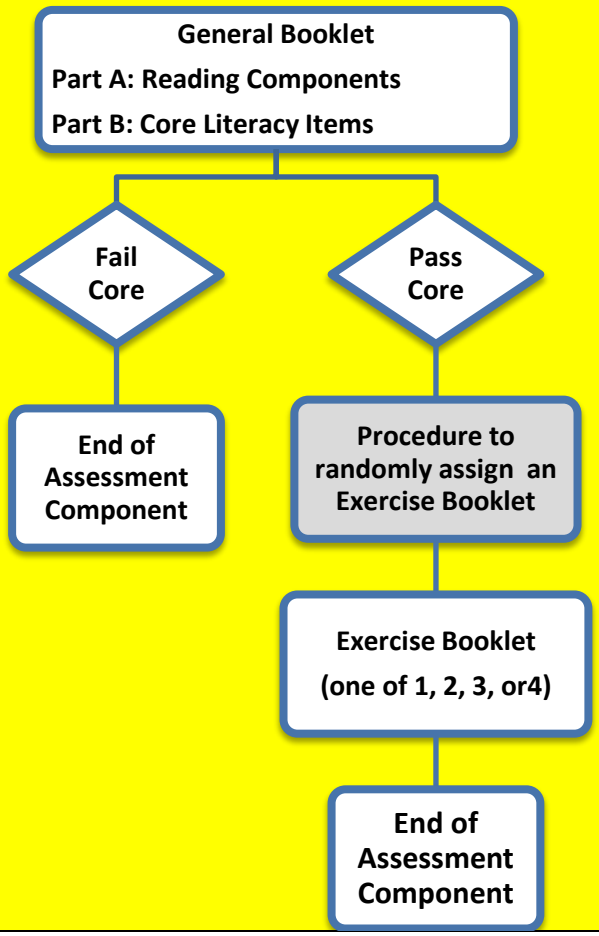
The assessment portion of the STEP Survey will include the administration of a General Booklet to each respondent. The General Booklet is comprised of two sections,

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

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

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

Figure 1. Proposed Workflow – Full Assessment



9.1 Translation and Adaptation of Literacy Materials

STEP Standard

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

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

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

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

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

Rationale

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

Report Requirement

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

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

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

will be then submitted to the World Bank, who will then send the materials to ETS, the organization that is providing the literacy exercises for the STEP program. The materials will then be sent for independent verification with feedback provided to countries about the translated versions of their materials.

1. The first translation of the questionnaire was realized jointly by World Bank and Real Data teams, considering the use of local terms. The language specialist was a leader in the work of editing and revising of the questionnaires, providing suggestions to translate the instruments with appropiate language.

   During the pilot test was observed the questions clarity. The respondents were consulted about the understanding of the questionnaire to identify weakness in the translation.

2. The translation of all literacy material since pre-tests versions was coordinated jointly with World Bank and ETS teams. The first version of translation was proposed by ETS team and revised by Real Data team, in terms of the use of appropriate and common language to Bolivian persons. Some minor changes were introduced to the first version of the questionnaire to be piloted in the pre-test and qualitative test.

3. As was mentioned above, the STEP survey will interview to Spanish speaker population. The project will not translate to other native indigenous languages (e.g. Aymara, Quechua, Guarani).

4. Bolivia project are following all STEP technical standard.

9.2 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.

The booklets for the literacy assessment will be printed using a press, to preserve high quality in texts and graphics in the instruments. The Household questionnaire will be reproduced by photocopy.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

10.0 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.

Bolivia plans to include questions in the education module, in order to better understand the dynamics and determinants of secondary school dropout. This responds to a request by the Ministry of Education. These questions include two questions on violence, to be added to the family module.

The team will include an additional 6 questions (total) to the Education and Family modules, in order to better understand dropout and skills formation. The team will test the additional questions during the pilot and drop questions that are not well understood or if the response rate is low.

2. Description of the pretest strategy

Bolivia will implement the Household Questionnaire prescribed by the STEP Consortium. It was piloted as is required by the STEP Consortium and as specified below. Before the pilot test, two tests were carried out by Real Data. The first pre-test was a general approach to the field operation with the first version of the questionnaire. The second pre-test was a qualitative work to analyze in detail some particular questions.

A first pre-test

The first pre-pilot test was realized in La Paz and El Alto, during august 22-29 of 2011. Were applied 21 questionnaires (household questionnaire, literacy booklet and literacy exercises). At this stage, the technical team conformed by the World Bank and Real Data has worked jointly in a detailed revision of questionnaires and translation.

The main result of the first pre-test was the identification of difficult modules and questions. Also, wrong skip patterns were identified and the supervisor knowledge related to the thematic and questionnaire.

In this pre-test were not included the country-specific questions.

A qualitative pre-test

Real Data has conducted a qualitative survey of a set of key questions taken from the household and individual questionnaire that the World Bank has developed. The qualitative survey takes the form of open (in-depth) **22 interviews**. The firm has produced a report that summarizes the key results of the surveys.

Some of the activities realized were:

(a) Technical team attended a training session conducted by the WB team by video-conference, before the pre-test.

(b) Near of half of the respondents were from low-income households, and half from medium/high income. The overall sample was balanced in terms of gender and age composition.

(c) Translation to [Spanish] of questionnaires.

(d) The technical team was responsible of apply 22 questionnaires.

In this pre-test were not included the country-specific questions.

A pilot survey

Questionnaires will be adapted as a result of information gathered during the first pre-test, the qualitative pre-test and an intensive training course conducted by the WB team. The questionnaires will be finalized in English and will then have the changed questions translated into [Spanish] following the same translation method as mentioned above for the questionnaires.

These finalized questionnaires and sampling methodologies will be tested in a pilot test of **20**

households. The household questionnaire will be administered in the households, choosing the main respondent and applying all parts of the questionnaire, including the literacy exercises and the process of selection of respondents.

(a) The pilot test will be conducted approximately half in low -income households and half in medium/high income households. The households will be selected in areas that do not form part of the sample of the main survey.

(b) The pilot test will be led by the main trainers for the interviewer training, and will involve 5-6 senior persons as interviewers for the pilot. These senior individuals will then be assisting in the interviewer training and will be supervisors in the survey. This will allow a further familiarization of the instruments for the survey and will allow for effective debriefing from senior persons.

(c) Create a brief report on the pilot with recommendations for any changes to the questionnaire and for implementation. This report will be based on a template provided by the World Bank team. There will be a debriefing by phone of the main results of the pilot survey.

(d) It is expected that the firm will work in close collaboration with the World Bank team, in identifying areas that may require adjustments (wording, fluidity, translation, etc.)

(e) Associated adjustments to the implementation manual and training program for interviewers and field operators will be made upon completion to the adjustments to the instruments. The firm is expected to update training accordingly using the adjusted questionnaire and implementation materials.

In this pilot-test were included the country-specific questions.

3. Translation of the Household Questionnaire

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

4. Printing of the Household Questionnaire

The household questionnaire will be reproduced by print, to preserve quality in the design.

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO**

	APONTE

11.0 DATA COLLECTION

STEP Standard

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

Key elements of the data collection strategy are the following:

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

Rationale

The collection of data from respondents should be as consistent as possible so that potential bias may be minimized. There is a need to ensure that the interviewers have the necessary

material for selecting a respondent within a household and the survey instruments are administered uniformly by all countries.

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

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

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

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

Report Requirement

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

a) Briefly describe the methods to be used to minimize non-response.
b) Respondent incentive.

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

11.1 Survey Promotion Strategy

The promotion strategy for the survey aims only to areas and PSUs (Primary Sampling Units) through letters and brochures to be delivered to all houses in selected PSUs, as well as through neighbor association leaders.

In some neighborhoods the presence of interviewers produces susceptibility to robberies. To prevent problems, the police squads will be informed about the survey and the presence of interviewers.

11.2 Contact Strategy

Once the information has been distributed to people in the selected PSU, direct intervention to selected households will take place through a interviewers and supervisors visits, explaining the objectives of the study and the need for information collection.

Even though the current investigation has prepared gifts to be delivered, a point that would allow better access specially in low income areas, all interviewers and supervisors have specific qualifications about introduction and convincing strategies, which will allow to minimize the rejection and non response rates. This work will be supported also by a supervisor performing a follow up process to unsuccessful appointments from his pollsters group, maximizing the appointments effectiveness.

11.3 Response Rate Strategy to Minimize Non-response

As it was mentioned, one of the main strategies to minimize the non response rate consists in gifts to households that accept the survey. This gift consists in a cell phone card with credit of Bs 30 (a bit less tan USD 6), which we consider will have a positive effect. However, it is suggested that among the medium high and high socioeconomic levels, another element may be added, such as some reading material or similar, in order to increase effectiveness in this point, where these segments are the ones that have highest rejection rates. Such reading material should be provided by the World Bank, based in the existence, pertinence and availability of such material, for at least 30 to 40% of the sample.

In an effort to obtain a response rate of **75%**, a number of non-response strategies are being considered. They include:

1) **Interviewer Training**: Based on the pilot test results, the training course to interviewers will emphasize in modules and specific questions, in order to gather information of high quality.

   All interviewers and supervisors should attend the training course. The first part of the training will expose key concepts and definitions as dwelling, households, residence, the respondent selection process, responsibilities and the work schedule.

   The second part will provide a "module by module" explanation, emphasizing in concepts and exercises to apply the household questionnaire.

   The third part of the training will focus in the CORE booklet and the literacy exercises.

   One expected result of the training course is standardizing concepts and methodology to collect information in all interviewers.

2) **Interviewer Supervision**:

   Questionnaire supervision demands a close relationship with the validation team to establish priorities to be supervised (modules and questions with particular difficult). The defined supervision percentage reaches 40% of the questionnaires.

   Supervision is done in two phases:

   Phase 1: During the first working days, supervision must have an assisting on-site

characteristic, meaning that the supervisor is present during the questionnaire filling process. This task allows verify the correct approach to gather information and application of the questionnaire, allow bring support the pollster in any doubt and allow the implementation of corrective measures “in situ”.

Phase 2: During the following work days, up to the end of the collection process, the second visit supervision methodology is applied, where the supervisor takes the pollsters route and proceeds with the questionnaire supervision in order to verify the quality, truthfulness and reliability of the collected information.

After supervision, the sample will be verified as well as the final review of questionnaires, prior to delivering to the computing department for its corresponding scoring, coding and data entry.

11.4 Interviewer Hiring Plan

The interviewer team is formed by experienced personnel in household surveys, with particular experience in the employment measurement through labor force surveys conducted by Real Data.

The firm has a database of interviewers who worked in previous projects with Real Data. Most of these interviewers has worked in different surveys and achieved the expertice of interview conduction, fill of questionnaires and knowledge of basic concepts to gather information in households.

At the hiring stage, skills like comprehension and optimal management of the data collection instrument will be considered, as a result of training stage. In such training, a higher number of pollsters than the ones required will be considered.

11.4.1 Number of Interviewers

The field operation to gather information will be realized by teams of work, each one composed by one supervisor and four interviewers. Approximately will be hired 9 teams with 36 interviewers.

11.4.2 Method of Payment

The interviewers will be paid based on the number of complete questionnaires. In addition, the interviewers will receive a transport bonus.

11.4.3 Interviewer Training Plan

TRAINING CONTENTS	OBJECTIVES	METHODOLOGY/ACTIVITIES

Introduction to sequence modules and aspects relevant for each module	Understanding the complete process, from test application preparation to final interviewer comments	Content presentation
Key factors for the interviewer to take the tests	Establishing behavior rules and instrument administration, as well as defining skills for creating a trust environment and conducting the interview. Determine the aspects of material and logistic organization for test application	Content presentation Specific situation examples
Test knowledge (ETS, personality, behavior and interests modules review)	Familiarizing supervisors with module ítems, anticipating probable conflicts	Instructions and exercises reading and analysis for each one of the questions in the ETS module, as well as question scoring. Reading and analysis of the instructions and items from other module, clarifying doubts, anticipating probable conflicts and solutions for them.
4. First pilot test review	Reviewing with participants some critical points and special situations identified in the first pilot, all important points would be marked in order to be considered in the test application.	Review and analysis of situations faced during the pilot test Identification of their implications for future applications
5. Trial application training	Strengthen interviewer skills for test application	Role play among participants with an observatory in order to have feedback in the executions.
6.Field test application, learning feedback and corrective measures application	Consolidating knowledge and giving opportunities for the interviewers to show the developed skills for feedback. Corrective measures application in order to assure effectiveness of this process.	Field interview application, followed by an evaluation and feedback. Identification of improvement areas and corrective measures definition in order to assure quality in the process.

Psychology experts in the team are responsible in the training process.

Household, education and employment modules training

The household, education and employment module will be part of the second phase of training, according to the following table.

TRAINING CONTENTS	OBJECTIVES	METHODOLOGY/ACTIVITIES
Presentation Of the investigation objectives.	Understanding the objectives and main aspects of the investigation.	Presentation of contents

Introduction and engagement to interviewed persons	Establishing rules for engagement selection and orientation to interviewed persons.	Presentation of contents Examples in specific situations
Test question knowledge	Familiarizing supervisor with module items, and test fill up mechanisms, anticipating probable conflicts	Question Reading and analysis anticipating probable conflicts and solutions.
4. - Household and informant selection methodology	Methodology interviewer training for home and main informant selection.	Methodology review and analysis Exercises for implementation
5. Test application training	Strengthen skills for test application	Application exercises for different modules in internal trials. Test application evaluation Difficulties socialization and corrective measures.
6. Field test application learned material feedback and corrective measures.	Consolidating knowledge and giving opportunities for the interviewers to show the developed skills for feedback. Corrective measures application in order to assure effectiveness of this process.	Field interview application, followed by an evaluation and feedback. Identification of improvement areas and corrective measures definition in order to assure quality in the process.

Beside the mentioned training process, this stage will allow supervisor and interviewer evaluation in order to define the people that will take part of the working team, based in the achieved knowledge.

Besides, supervisors will be trained for the organization and follow up process of their interviewer teams. This training includes follow up and evaluation of their team aspects, as well as monitoring tasks expected over the process, alerting about possible situations that may require corrective measures to guarantee quality of the process.

11.5 Interviewer Supervision Procedures

Questionnaire supervision demands a close relationship with the validation team for the priorities definition at the questionnaires to be supervised. The defined supervision percentage reaches 40% of the questionnaires[1].

Supervision is done in two phases:

- **Phase 1:** During the first working days, supervision must have an assisting or on-site characteristic, meaning that the supervisor is present during the questionnaire filling process. This task allows verifying the correct approach to the surveyed individual, the correct questionnaire application, and to support the pollster in any doubt he may have; it allows also to satisfy any necessary clarification, and to apply corrective measures in situ.

- **Phase 2:** During the following work days, up to the end of the collection process, the second visit supervision methodology is applied, where the supervisor takes the pollsters

[1] This percentage may be higher and will be defined based on the questionnaire validation and review results for each pollster.

route and proceeds with the questionnaire supervision in order to verify the quality, truthfulness and reliability of the collected information[2].

After supervision, the sample will be verified as well as the final review of questionnaires, prior to delivering to the computing department for its corresponding typing.

11.6 Supervisor Hiring Plan

The STEP survey will have <9> Interviewer Supervisors who will be supervised by 3 Field Managers.

The supervisory personnel are people with experience working in past projects with Real Data. This personnel is temporary into the firm, have specific experience in households surveys (mainly labor force surveys) and related field works. According to the performance working in previous projects with the firm, these personnel were recruited by invitation to be part of to STEP project.

These personnel had experience working as interviewers in the pre-pilot test (mentioned in sub-section 7). After the training course to this pre-test and the work of gather information in field, had provided of specific knowledge to apply the household questionnaire and most important, the literacy assessment instruments.
After the pilot test, supervisors will be evaluated in terms of comprehension of the questionnaire, domain of methodology of gathering information, qualities of leadership and responsibility.

11.6.1 Supervisor Responsibilities

- Interviewer´s performance control. The supervisor should control the number of questionnaires applied, number of visits realized to households.
- Quality control. Is the activity of verification of questionnaires applied, verification of skip patterns, failures in write responses and congruence on responses.
- Coverage control. Is the verification of correspondence of dwellings selected and interviewed, results obtained (e.g. non-response).
- Management of instruments, forms and materials. Should assign to interviewers the sufficient number of blank questionnaires, control the number of questionnaires filled and get back to coders in office. Should control the sufficient quantity of pens, presentation letters, etc.

11.7 Progress Reporting

At the end the third week of field work, the project manager will submit to the STEP Consortium a first and partial database . Two weeks after the first submit, will be available a second partial database. It means, every two weeks the firm will submit partial databases.
The database of literacy assessment will be available at the end of the scoring work and at the

[2] The supervising tasks guarantees the quality of the information by correcting errors and omissions made by pollsters, or by annulling questionnaires with pick up problems, or those that were not possible to correct during supervision.

end of field work

I agree with the above,	
ANA MARIA OVIEDO	**Signature:**
<GIOVANNA HURTADO>	**Signature: GIOVANNA HURTADO APONTE**

12.0 DATA PROCESSING

12.1 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 keeps 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

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

2. Assessment Booklet Identification

<Bolivia> will print a sequential booklet ID on each printed assessment booklet.

3. 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,	
<ANA MARÍA OVIEDO>	**Signature:**
< GIOVANNA HURTADO>	**Signature:**

12.2 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 following codebooks will be used to code education, occupation, and industry information from the Household Questionnaire.

01 '1997 International Standard Classification of Education (ISCED)' will be used to code the education variable (i.e. all questions related to the level of educational attainment).

02 'International Standard Classification of Occupations (ISCO 08)' will be used to code the occupation variable. The level of disaggregation will be 3-digit.

03 '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.

12.2.1 Data Capture

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

SPSS Data entry program will be used to transcribe data gathered from the household questionnaire. Real Data has used this software in previous projects and has obtained optimal results. Based on the experience, the enterprise will elaborate a program to data entry, including control of valid codes, skip pattern and consistence.

Programming includes:

- Definition of unique, multiple options and alpha numeric variable responses.

- Definition of ranges for each one of the numeric variables. These controls work at the information input to the database, becoming a second phase of verification of correct responses.

- Determine rules for conditioned questions.

- Definition of cleaning rules that allow verification of specific conditions compliance to questions or group of questions in 100% of the typed data. This procedure, made through the unique identification number on the questionnaires, allow identification and verification or correction of possible typing mistakes that may have filter during the previous stages, it also allows the consistency verification of the information after the data base entry and becoming a third control phase for quality of the information.

Questionnaire typing will be in charge of personnel with over 10 years of experience in information input using SPSS Data Entry. In all cases, a double typing process will be performed. Real Data have the necessary number of personal computers with the mentioned software, under a network administration that allows immediate monitoring of the joint activity of typists.

12.2.2 Data Capture System Test

The design of the data entry program will be tested at two stages. First, the program will be used in the training course of data entry operators to show all functions. Second, after the training to candidates to operators, the program will be proven in practice of data entry.

Corrections could be included into the program, before the data entry begins.

12.2.3 Data Capture Verification

Algorithms that allow databases comparisons generated by a double typing process will be used, in order to eliminate typing errors.

12.2.4 Coding

Once the questionnaires have completed the validation and supervision phase, the codification of open question will take place, a task that will be fulfilled by a group of persons trained specifically to do this work.

The '*1997 International Standard Classification of Education (ISCED)*' will be followed in coding the education. The classification to be used is:

http://www.uis.unesco.org/Library/Documents/isced97-en.pdf

Each respondent's occupation will be coded using the International Standard Classification of Occupations (*ISCO)* version 2008. The structure and definitions will be extracted from ILO´s web site.

http://www.ilo.org/public/english/bureau/stat/isco/isco08/index.htm

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

http://unstats.un.org/unsd/cr/registry/isic-4.asp

Occupation and Economic Activity will be coded at three digits.

12.2.5 Scoring Task Booklets

All booklets used and applied in field operations, will be grouped in bundles to be before to assignation of work to every scorer. The scorer should fill a form containing the score of every variable and complete the scoring of all questionnaires in the bundle. The same bundle should be re-scored by another person to compare score results, to eliminate errors attributable to scorer.

12.2.5.1 Recruiting and Training Scorers

The educational background of scorers will be greater than coders and interviewers. Five persons graduated from university level will be hired to the scorer job. Two of five scorers will be bilingual (English-Spanish) and one of this persons will be nominated as supervisor of the scorers team. The supervisor will have bilingual capability.
Some elements to be considered in the training are:

- Proficiency English test to verify the level and fluency in English of bilingual scorers.
- Attendance of training course. The training will focus in filling the instruments and how to score the questions in the booklet and reading exercises.
- Scorers will be trained in fill the scoring forms (special sheets to record the score of every question in the literacy instrument).

Results of the training course and the record of resumes will be documented and available to the Consortium.

12.2.5.2 Ensuring Inter-rater Agreement

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

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

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

12.2.5.3 Documenting the Scoring Process

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

12.2.6 Creation of International Data File

Some basic controls to obtain a "clean" data file are the verification of skip patterns, the typographical errors and consistency checks. A first stage of control is applied at the data entry moment, including valid codes control and skips. At this point, data entry

corresponds to responses obtained in the field work, but it is necesary establish a basic set of relations to be checked. The consistency checks will be executed by program routines to identify questionnaires to review and validation.

To obtain a clean data file, are necessary establish criteria to identify and after correct "dirty" data.

To identify dirty data, it´s usefull the univariate statistics and graphics. Especial atention is required to missing responses, blanks, the error of put 0 instead of "not applicable".

Another part of this work is define a basic list of expected relations between variables. Through the processing of bivariate tables will be possible identify combinations not expected to ocurr and the identification of inconsistencies. In some cases, mistakes are identified using basic logical checks.

Previous to correct dirty data, questionnaires with situations identified as problems will be checked and verifiers-coders will review information gathered to confirm or find some explanation.

Previous to correct dirty data, questionnaires with situations identified as problems will be checked and verifiers-coders will review information gathered to confirm or find some explanation. Cases with unacceptable combinations could be modified, applying comprehensible and uniform criteria.

12.2.7 Data Editing System

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

12.2.7.1 Editing Household Questionnaire Data

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

1) ID check

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

2) Range checks

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

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

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

4) Consistency checks

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

5) Outlier check

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

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

12.2.7.2 Editing Assessment Data

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

1) ID check

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

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

2) Range checks

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

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

[**Note to Bolivia Team**: Since Bolivia is using an SPSS DEP, please outline in this section the strategy to edit the data to ensure that a 'clean' data file is created. The content should include an outline of the data edits that will be carried out - the content should be relevant to sections 9.2.7.1 & 9.2.7.2.]

Data Editing Strategy

Preparation of typing programs

The questionnaires typing programs will be designed simultaneously with the field operation processes, SPSS Data Entry will be used, a program designed for data input and consistency tests. These programs are:

- Programming and definition of unique, multiple options and alpha numeric variable responses.
- Programming of ranges for each one of the numeric variables. These controls work at the information input to the database, becoming a second phase of verification of correct responses.
- Programming of rules for conditioned questions. Same as in the previous case, they work at the data input stage.
- Programming of data cleaning rules that allow verification of specific conditions

compliance to questions or group of questions in 100% of the typed data. This procedure, made through the unique identification number on the questionnaires, allow identification and verification or correction of possible typing mistakes that may have filter during the previous stages, it also allows the consistency verification of the information after the data base entry and becoming a third control phase for quality of the information.

Questionnaire typing

Questionnaire typing will be in charge of personnel with over 10 years of experience in information input using SPSS Data Entry. In all cases, a double typing process will be performed. In order to do this we have the necessary number of computers with the mentioned software, under a network administration that allows immediate monitoring of the joint activity of typists.

Algorithms that allow databases comparisons generated by a double typing process will be used, in order to minimize typing errors.

I agree with the above,	
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13.0 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.

13.1 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 Bolivia probability sample design.

Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file. The following weights will comprise part of each respondent record:

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

13.1.1 Benchmarking Variables

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

13.1.2 Source of Benchmark Variables

Bolivia will provide the most recent counts of the benchmark variables to the STEP Consortium. 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 are 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 benchmark weights will be created based on the known population totals for age, gender, and education using data from the <COUNTRY DATA SOURCE>.

I agree with the above,	
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14.0 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 Bolivia's data confidentiality requirements.

All persons on the STEP project team will have professional secrecy clearance. The interviewers and interviewer supervisors must take an oath of confidentiality as a condition of employment.

The STEP data collects personal information from respondents. Once screened, the data set is considered to be in the public domain and available to all users for the cost of reproduction.

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

All prospective respondents in the survey will receive an introductory letter that will include information about the use of the data and any linkage to other administrative files. The letter will inform the respondents about their rights, such as the right to revise or delete data and the right to withdraw from the survey at any time. Respondents are informed in the letter that participation in the survey is voluntary. They will be also asked for their signed permission to start the interview. If a respondent is under the age of 18, both the respondents and their parents/guardians will receive introduction letters. Parents/guardians have the right to decline from participation in the STEP on behalf of a respondent under age 18.

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,	
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15.0 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.

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. Ms. Hurtado, responsible for the overall management of the STEP;
2. Mr. Rojas, responsible for the processing of the STEP data and the creation of the STEP International Data File;
3. Ms. Velasco and Ms. Ortiz, responsible for the training to interviewers in the literacy module, training to scorers, supervision to score work;
4. Ms. Escobar, advisor of the questionnaire, specialist in employment measurement.

2) **Expert Meetings**

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

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

3) **Survey Instruments**

Background Questionnaire

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

A pretest of the Background Questionnaire will be conducted with a non-probability sample of 20 members of the target population.

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

Assessment Instrument

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

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

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

4) **Sample Design**

A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample will be used. The minimum STEP sample size goal will be exceeded – 3000 completed interviews is planned.

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

5) **Data Collection**

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

Interviewing Staff

a) Hiring of qualified, experienced interviewers and interviewer supervisors,
b) Classroom training of 3 days and a home study program for all interviewers,
c) Regular meetings between interviewers and interviewer supervisors,
d) Interviewer Observation Program,
e) Sample Verification of Each Interviewer's Cases.

Response Rate

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

1) **Data Processing**

The following quality assurance procedures are planned:

a) Test of the data capture system
b) 100% verification the captured data.
c) 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,	
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16.0 SCHEDULE

STEP Standard

Each country will provide a schedule of activities for STEP.

Rationale

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

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

Report Requirement

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

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

Table 1: Schedule of activities – STEP Survey

Activity	Time Period (year 2012)
A. Survey Preparation	
1. Training supervisors	Jan 23 – Feb 3
2. Training interviewers	Jan 23 – Feb 3
3. Training data entry staff	Jan 23 – Feb 3
4. Training scorers	Apr 9 – Apr 30
5. Training coders	Feb 6 – Feb 17
B. Data Collection	
6. Pilot test	Jan 9 – Jan 20
7. Field work (*)	Feb 20 – May 5
8. Data entry (except literacy module)	Feb 27 – May 12
9. Score of literacy booklets	May 1 – Jun 8
10. Data entry of literacy module	May 28 – Jun 25

(*): Field work will begin after the carnival holidays to prevent interruptions.

I agree with the above,	
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17.0 BUDGET

STEP Standard

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

Rationale

A budget of expenditures is a key planning tool.

Report Requirement

1. Provide the budget for the major activities for the STEP implementation.

The estimated expenditures for the STEP in Bolivia is summarized in the following table:

******** EDITED FOR ARCHIVING ********

I agree with the above,	
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