National Survey Design Planning Report

Skills Toward Employment and Productivity (STEP)

Georgia

This Version: February 22, 2013

FULL LITERACY ASSESSMENT

STEPSKILLS MEASUREMENT

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Introduction: How to Fill Out the NSDPR

The National Survey Design and Planning Report (NSDPR) is aimed at clarifying implementation procedures outlined in background documents provided by the STEP Consortium to the Survey Firm (e.g., Technical Standards, Operation Manual, Interviewer and Supervisor Manual).

Please fill out and read carefully the whole document. As it is based on the Terms of Reference and Technical Proposals submitted by the Survey Firm, it is a **binding document** on implementation procedures.
After ensuring that each section accurately reflects the implementation procedures, both **Task Team Leaders and Project Managers are required to sign the document**.

How to fill out the document:

- **Part 1** should be filled out by the World Bank Country Team Task Leader based on exchanges with the World Bank STEP Core Team;
- **Part 2** should be filled out by the Survey Firm with support from the World Bank STEP Core Team;
- **Part 3** should be filled out by the Survey Firm with support from the World Bank STEP Core Team's Survey Methodologist.

- Elements highlighted in yellow need to be filled out by the World Bank Country Team (Part 1) or the Survey Firm (Parts 2 and 3).
- The document describes Technical Standards that should be followed during implementation. In some cases, the Survey Firm may propose a deviation from the Technical Standard, which it must then detail and justify. The STEP Core Team will then decide whether or not to accept the deviation. When the column "Deviation Requested" is grayed, the Survey Firm cannot amend the Technical Standard.
- Comments in italics provide examples or detail the type of information required.

PART 1: World Bank Country Team Plan

This section will be filled out by the World Bank Country Team.

1.1. Time Frame

Technical Standard	*Agreed to by the World Bank Country Team?*
The World Bank Country Team will help ensure a final NSDPR is submitted to the STEP Consortium at least **two months** prior to the commencement of data collection for its main survey.	☒

1.2. Rationale for the STEP Survey

1. Please provide a brief background of the country's involvement in the STEP survey.

The economic transformation of Georgia since the Rose Revolution has been profound, leaving behind its Soviet legacy to embrace a libertarian, market-oriented and business-friendly policy focus. As a result, Georgia has enjoyed economic growth even in the past two years, when the majority of countries in the region have stagnated or even shown declines. However, this transformation has not been able to address the persistent problem of skills mismatches (the wrong people in jobs) and skills gaps (no one to fill critical jobs), which has been the impetus behind carrying out of this study.

The discrepancy between the employment structure in Georgia and the supply of highly educated workers points to the existence of important skills mismatches and skills gaps. A large proportion of the workforce – 31 percent – completed tertiary education, while only 9 percent completed less than secondary education. However, the majority of jobs in Georgia are located in traditional, low-productivity, sectors.

Despite high unemployment rates (18 percent for the overall population and 36 percent for the 15 to 29 age group), employers state that theyare often unable to find workers with the required skills. The most recent Bank Business Environment and Enterprise Performance Survey carried out in 2008 revealed that close to 30 percent of Georgian employers consider inadequate workforce skills as a major obstacle to the operation and growth of their firms.

This suggests that the education system is unable to fully respond to the demand for skills, and that a considerable proportion of the labor force is unable to put skills acquired through the education system to work. As an illustration, many jobs requiring vocational or technical skills are filled by employees with a tertiary education – this could be because vocation education and training is underdeveloped in Georgia, and/or because tertiary education lacks the ability to provide the necessary skills.

One expected outcome of the STEP Household Survey is to better understand the supply of skills in Georgia to inform on-going reforms of the education system.

Indeed, after the 2003 Rose Revolution, Georgia embarked on a series of education reforms across the entire system. In the past two years, vocational education and training has been getting considerable attention, and has benefitted both from changes in laws and regulations, and from government and donor funded programs for its improved quality, relevance and access.

2. Identify the sponsoring organization

Government of Austria, through an externally financed output arrangement.

1.3. Country-specific Survey Objectives

The study is expected to provide critical information on skills supply in the labor market and help tailor education and training policies to boost employability and productivity.

1.4. Household Questionnaire

Technical Standard	*Agreed to by the World Bank Country Team?*
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.	**NOT APPLICABLE** **NONE**

Information Required	*Proposed Country-Specific Questions and Placement*	*Information Approved by the STEP Core Team?*
Country-specific questions:	**NONE**	

1.5. Fieldwork

Information Required	*Description*
1. Public Awareness Campaign Please describe briefly activities for raising public awareness.	N.A.
2. Advance Survey Information Please describe briefly the initial method of informing targeted households of the purpose of the survey.	N.A.
3. Respondent Incentive If applicable, please describe the respondent incentive strategy.	N.A.

1.6. Sample Frame and Benchmark Variable Counts

Information Required	*Description*	*Information Approved by the Survey Methodologist?* *Date*
1. Sample Frame Counts The World Bank Country Team Task Leader will provide the Sample Frame counts that correspond to the sample design units to the Survey Methodologist for weighting.	**ALREADY PROVIDED BY THE SURVEY METHODOLOGIST**	
2. Benchmark Variable Counts (if applicable) The recommended benchmark variables are age, gender, and education. The World Bank Country Team Task Leader will provide the pertinent counts of the benchmark variable totals to the STEP Survey Methodologist. Benchmark variable counts may be required to adjust the basic population weights to more recent known population totals (e.g., an updated Sample Frame) or more reliable known population totals from a source other than the Sample Frame (e.g., National Census of Population, National labour Force Survey, etc.)	**DECISION AT A LATER STAGE**	

PART 2: Survey Firm Plan

This section will be filled out by the Survey Firm.

2.1. Time Frame

Technical Standard	*Agreed to by the Survey Firm?*
The Survey Firm will submit a final NSDPR to the STEP Consortium at least two months prior to the commencement of data collection for its main survey.	Agreed

2.2. Project Team

2.2.1. Qualifications and Expertise of the Survey Institute

1. Identify the Leading Survey Institute

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

2. Identify Key Project Team Members

There are several key project team personnel. Every effort should be made to recruit people who can be committed to the project for the duration.

Table 1 provides a summary of the key STEP project team positions and corresponding project functions that are crucial to the STEP success.

Table 1: Key STEP Project Team Positions and Functions

Key STEP Position	Key Function
➢ National Project Leader	➢ Project Management & International Coordination
➢ Survey Methodologist	➢ Sample design, weighting, estimation
➢ Data Collection Manager	➢ Field procedures, interviewer staffing and supervision
➢ Data Processing Manager	➢ Data capture, coding, scoring, data editing, file creation
➢ Linguistic Specialist (Translator)	➢ Translation & cultural adaptation of survey materials, & survey correspondence

a) Provide a four-line overview of the qualifications and expertise of each key project team member (please attach their Curriculum Vitae in Appendix 2**)**

Koba Turmanidze earned an MPA from the American University (Washington, DC) and a M.A. in Political Science from Central European University (Budapest, Hungary). He also holds a diploma in history from Tbilisi State University. Since 2005 he has held the position of Assistant Professor at Tbilisi State University, where he has taught economies in transition, research methods and network analysis courses in the Department of Political Science and the Center for Social Sciences. Prior to joining CRRC, Koba worked as a Senior Analyst for Transparency International - Georgia; he has held administrative positions at Eurasia Foundation - Georgia, the Georgia Governance and Civil Society Project, and the Parliament of Georgia. Koba also taught at the Georgian Institute of Public Affairs (GIPA) and was an International Policy Fellow at the Center for Policy Studies (Budapest, Hungary). Koba's research interests include structural analysis of economic transition and social movements.

Kristina Vacharadze worked as the South Caucasus Regional Coordinator for the Academic Fellowship Program at OSGF during the years 2004-2006. Prior to this she was the Caucasus Program Assistant at the Civic Education Project; Research Assistant for a team which was evaluating the micro-credit activities of FINCA and Constanta and a teacher in the New School. Her educational background includes a M.A. in gender studies from Central European University and a B.A. from Tbilisi State University, Faculty of Western European Languages and Literature.

Mariam Kobaladze holds M.A. in Social Sciences from Tbilisi State University, Center for Social Sciences and B.A. in English language from Ilia Chavchavadze State University. In 2008, she went through the summer course in political and economic systems at the American Institute for Political and Economic Systems (AIPES) in Prague, Czech Republic.Prior to joining CRRC, Mariam has worked in the long-term observation team of NDI (National Democratic Institute for International Affairs) for parliamentary elections 2008. She was NDI's parliamentary intern for one year serving at the Speaker's Office. Mariam worked at the English-language newspaper Georgia Today both as a contributor and as an executive editor. Her research interests include political and public institutions in transitional countries and democracy development.

Giorgi Babunashvili holds M.A. in International Relations from Tbilisi State University State University. Prior to joining CRRC, he worked as a Lead Research Associate in a team for evaluation of the Ilia Chavchavadze Program for Reforming and Strengthening Georgian Secondary Education System. Giorgi also worked as Research Assistant for Centre for Social Studies and Administrative Officer in small business advocating project in Union Business League. Giorgi's research background includes 2007 scholarship from Heinrich Böll Foundation and joint research with ESI. His research interests are political parties and processes of political transition in post-Soviet societies.

David Sichinava is a PhD student at Tbilisi State University, faculty of social and political sciences. His research interests are located in the field of Human Geography, especially in spatial analysis of electoral behavior and in development of GIS applications for social and political sciences. In 2008-2009 David worked as an assistant in a research project "Presidential and Parliamentary elections of Georgia" implemented by CRRC, National Democratic Institute (NDI) and TSU department of Human Geography.

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

Distribution of staff time:

1. Kristina Vacharadze – 100%
2. Mariam Kobaladze – 70% will work full time from October 3 to December 31. Also, from February 1 till May 31.
3. Giorgi Babunashvili – 15% will work full time during the preparation of sample for employer's survey and household survey.
4. David Sichinava – 25% will work full time from October 10 to November 31. Also, from February 1 till May 31.
5. Koba Turmanidze – 10% will work full time while working on the report.

c) Include firm experience as well as names and types of surveys conducted in Appendix 3**.**

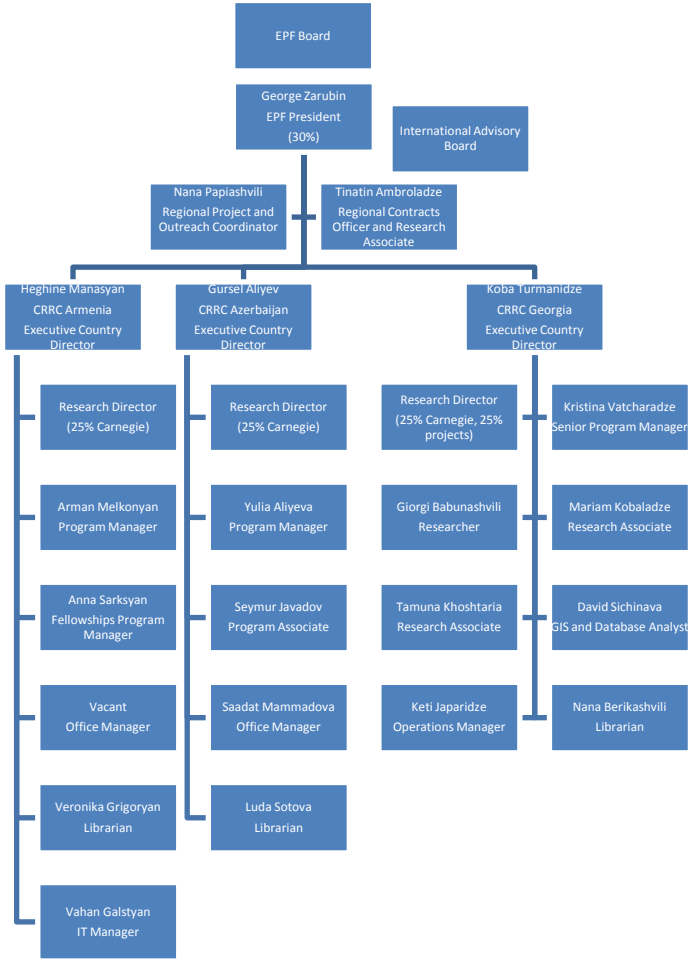
The Caucasus Research Resource Centers (CRRC) is a program of Eurasia Partnership Foundation funded by the Carnegie Corporation of New York. CRRC is a network of research and research support centers established in the capital cities of Armenia, Azerbaijan and Georgia. CRRC's goal is the strengthening of social science research and public policy analysis in the South Caucasus. The CRRC network offers scholars and practitioners stable opportunities for integrated research, training and collaboration in the region.

Since the opening of the centers in 2003, CRRC has become a nexus of activity for social science community in the South Caucasus by providing open access to scholarly literature, data, and professional training for social science researchers. Direct and indirect beneficiaries of CRRC are social science researchers, faculty members from academic institutions, and policy practitioners from non-governmental, private and public sectors.
To deliver quality results, CRRC uses advanced survey techniques, implemented with particular rigor. Our Caucasus Barometer is the largest coordinated data gathering effort in the South Caucasus. Conducted in four languages (with an English-language source questionnaire), now in its eighth year, with about 7000 respondents, it seeks to establish the highest standards of survey work in the region, including painstaking sampling, translation and detailed documentation of all major decisions. To run this successfully, CRRC blends international expertise with highly committed local professionals. Results of CRRC research have been presented to most major organizations in the region, and are quoted widely.

CRRC has both strong local and global linkages. It actively participates in national as well as international NGO meetings and conferences. CRRC-Georgia has undertaken a wide variety of local research projects, which have contributed to local capacity building. For past projects, CRRC has closely cooperated with many Georgia-based NGOs and international organizations, including WB, EWMI, USAID, TI, UNDP, NDI, NORC, GIZ, CARE, IFES, Saferworld, the Foreign and Commonwealth Office, and others. Further details are available on our website at www.crrc.ge.

CRRC staff includes a local and international team of experts trained in a wide variety of quantitative and qualitative techniques. CRRC already has a wealth of data on political, economic and social issues, many of which include perceptions between ethnic groups in Georgia, as well as trust towards a broad range of public institutions. Additionally, CRRC already has a Georgian, Armenian and Azerbaijani-speaking fieldwork staff (interviewers and supervisors) who are highly qualified, experienced and who receive training before each survey using techniques created by the American Association of Public Opinion Research (AAPOR)—the world's leading organization on standards of survey practice.

2.2.2. Project Structure



2.3. Literacy Assessment

2.3.1. General

Technical Standard	*Agreed to by the Survey Firm?*
The participating country may choose to implement either the Partial or the Full Literacy Assessment.	Georgia will implement Full Literacy Assessment.
However, the chosen assessment design must be administered as prescribed by the STEP Consortium.	√
The General Booklet comprised of the Reading Components (Part A) and the Core Literacy Items (Part B) will be administered to each selected person.	√
The Survey Firm will provide each interviewer with a stopwatch to time the Reading Components exercises in the General Booklet.	Stopwatches will be loaned to CRRC Georgia from the World Bank Country Office in Georgia. The stopwatches will remain the sole property of the World Bank and will be returned to the World Bank Country Office as soon as fieldwork ends.
<u>For Full Literacy Assessment only</u> Subsequent to the completion of the General Booklet, 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	√

Technical Standard	*Agreed to by the Survey Firm?*
General Booklet for respondents with less than 3 correct answers for the Core items.	
The Interviewers will be trained to administer the assessment according to the instructions provided by the STEP Consortium.	√
The Literacy Assessment will be administered in the following language(s): - Georgian	√

2.3.2. Translation and Adaptation of Literacy Materials

Technical Standard	*Agreed to by the Survey Firm?*	*Language 1 Name of Translators*	*Language 2 (if applicable) Name of Translators*
Participating countries are responsible for the cultural adaptation and translation of the literacy material:			
a. <u>ETS translation and adaption guidelines:</u> The translation and cultural adaptation of the assessment items will be carried out according to the translation and adaptation guidelines prepared by ETS	√		
b. <u>Translation</u> will be carried out by two independent translators followed by reconciliation by a third translator	√	1. Nata Iordanashvili 2. Elene Abuladze	No second language
c. <u>Translation and cultural adaptation verification:</u> Check, sentence by sentence, of linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in the V*erification Follow-Up Form*	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Language 1 Name of Translators*	*Language 2 (if applicable) Name of Translators*
d. Layout: national assessment booklets will be modeled after the master assessment booklets provided by the STEP Consortium e. Layout verification: Final optical check to verify the final layout of the instruments after adaptation and translation verification	√ √		
f. Each participating country will submit its translated literacy booklets in each of its STEP reporting languages along with the *Verification Follow-Up Form* to the STEP Consortium for verification and approval.	√		
The Literacy Assessment Booklets will be printed *according to the printing instructions provided in the document 'STEP_Paper_Booklet_Printing_Specifications.doc'*. In particular: a. The booklets are currently in PDF format and should be opened in and printed from Adobe Acrobat. b. The assessment booklets must be printed (NOT photocopied) so that each page of the final printed booklets is either a letter-size page or an A4-size page. c. To ensure that the stimulus and its associated questions face each other, the booklets must be saddle-stitched or stapled in the middle so the booklet can lie flat when opened d. The booklets must be printed on paper that is 60 lb or more (at least 70 gsm)	√ √ √ The booklets will be printed on paper that is 80 gsm.		

2.4. Household Questionnaire

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
Each participating country will implement the Household Questionnaire prescribed by the STEP Consortium	√		
1. Translation of the Household Questionnaire The Household Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Consortium. These guidelines include: ▪ A double translation by two independent translators and reconciliation by a third translator ▪ Translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in a document that will be sent to the STEP Core Team ▪ Reconciliation of the first two translations will be done in close collaboration with a senior member of the survey team who has a strong command of English and who is involved in the survey piloting and fieldwork ▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator ▪ If the Household Questionnaire is administered in several languages, the above procedures will be followed for the translation of the Household Questionnaire in each language	√		
2. Translation of all Survey Materials (with the exception of the questionnaire) All Survey Materials will be translated based on guidelines provided by the STEP Consortium.	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
The Survey Materials include: ▪ The Interviewer and Supervisor Manual, which will be translated by a qualified translator	√		
▪ The Operation Manual, which will be translated by a qualified translator	√		
▪ The PowerPoint Presentations for the interviewers' training, which will be translated by a qualified translator	√		
▪ The Test and Answer Sheets for the interviewers' training, which will be translated by a qualified translator	√		
▪ The Brochure presenting the STEP Survey, which will be translated by a qualified translator	√		
▪ If the Household Questionnaire is administered in several languages, the Materials listed above will be translated as needed	It will be administered only in Georgian		
3. Health Module ▪ The Survey Firm will provide Interviewers with measuring tapes to measure individual respondents' height ▪ Interviewers should measure individual respondents during the interview, and only record self-reported height as a last measure	√ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
4. Pilot Survey The Household Questionnaire will be pre-tested according to the STEP Consortium requirements and as specified below:			
▪ Finalized questionnaires will be tested in a pilot test of 20-30 households	√		
▪ *Sample*:			
- half from low-income households and half from medium/high income households	√ If there are more lower income households in some neighborhoods vs. in others, we will select a mix of households from each of these neighborhoods		
- households will be <u>selected in areas that do not form part of the sample of the main survey</u>	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
▪ The pilot test will be administered by the main trainer(s) for the interviewer training and will involve 5-6 senior persons ▪ The Household Questionnaire training by the main trainer(s) for the 5-6 senior persons will last at least 2 full days	√ √ *Pilot training will be conducted by Kristina Vacharadze and Mariam Kobaladze.*		
▪ Data collected during the Pilot Survey will be entered through the Data Entry Program	√		
▪ Submit a 5-10 page report to the WB including recommendations for any changes in implementation or questionnaire translation, etc	√		

2.5. Field Teams and Training

<table>
<tr><th>Technical Standard / Required Information</th><th>Agreed to by the Survey Firm?</th><th>Deviation Requested from the Standard</th><th>Deviation / Information Approved by the Core Team?</th></tr>
<tr><td>1. “Train the Trainer” Training in Washington DC
The following members of the Project Team should attend the “Train the Trainer” Training organized in Washington DC:
▪ Head Trainer
▪ Chief Scorer for the literacy assessments
▪ Field Manager</td><td>√
Unfortunately, there were no funds for more people.</td><td></td><td></td></tr>
<tr><td>2. Interviewer and Supervisor Hiring Plan</td><td></td><td></td><td></td></tr>
<tr><td>▪ Interviewers’ Qualifications
Interviewers and Supervisors should at minimum be high school graduates</td><td>√</td><td colspan="2" rowspan="2"></td></tr>
<tr><td>▪ Number of interviewers and Supervisors
<table>
<tr><th>HHs</th><th>#HH / PSU</th><th>PSUs</th><th>Days for 1 team to finish 1 PSU</th><th>Wks of field time</th><th>Rounded up # Teams</th><th># Interviewers</th><th># Supervisors</th></tr>
<tr><td>3,000</td><td>15</td><td>200</td><td>3-4</td><td>8-10</td><td>12</td><td>40</td><td>12</td></tr>
</table></td><td></td></tr>
</table>

Technical Standard / Required Information	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation / Information Approved by the Core Team?*
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	Number of interviewers: 40 Number of supervisors: 12		
▪ **Method of payment** Interviewers' remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a per piece basis.		*CRRC interviewers are always remunerated on a piece-meal basis and this method works well. We will do the same during this survey. Interviewers will get honorarium based on the completed interviews.*	
3. Interviewer Training Plan	**February 20-28, 2013. Tbilisi.**		
▪ Training dates			
▪ Fieldwork must start within 4 days of finishing training			
▪ Location of the training Please note that the interviewers' training should take place in one 10-day session in one location (for each language).			
▪ Trainees should be split into training rooms of not more than 30 per room.	√		
▪ There should be a trainer and assistant trainer in each training room, and a technical support person for each three training rooms.	√		

Technical Standard / Required Information	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation / Information Approved by the Core Team?*
▪ There should be supplemental after hour sessions available for trainees who want more practice, or who have been identified in training as needing help.	√		
▪ Training staff should hold daily debriefing sessions to discuss progress, problem trainees and any technical or administrative issues that have been flagged during the day.	√		
▪ Training will be based on material provided by the STEP Consortium and translated by the Survey Firm	√		
▪ The training plan will follow the agenda attached in Appendix 4, including the supervisor training sessions once team supervisors are selected	√		
▪ Training will consist of 10 full days of combined classroom training and field training. Field practice will include, for each trainee, at least two households and two selected individual interviews.	√		
▪ The number of trainees should be at least 30% greater than the required number of interviewers, as only the best trainees will be retained after the training	√		

Technical Standard / Required Information	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation / Information Approved by the Core Team?*
▪ Trainers - Head Trainer(s): *Name(s), education level and whether they attended the "Train the Trainer" session in Washington DC* - Assistant Trainers: *Names, education level and whether they attended the "Train the Trainer" session in Washington DC*	Head Trainers: Kristina Vacharadze (MA in Gender Studies) and Mariam Kobaladze (MA in Social Sciences). Both have attended the training session. Assistant Trainers: Giorgi Babuanshvili (PhD Candidate in Political Science) and David Sichinava (PhD Candidate in Human Geography). Both have attended the training. Tsisana Khundadze (Researcher at CRRC)		

Technical Standard / Required Information	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation / Information Approved by the Core Team?*
▪ Training Evaluation Report: the Survey Firm will send the STEP Consortium a one-page training report including the following information, within one week of the end of training: - List of trainees (names) - List of trainees' marks - List of selected interviewers - List of selected supervisors	√		
▪ If the first reports from the fieldwork reveal a lack of understanding of some sections of the questionnaire, the firm will retrain all field staff on these sections	√		

2.6. Fieldwork

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
1. Household Listing			
▪ The Survey Firm will undertake a door-to-door listing of households in each selected PSU *Please specify whether a dedicated listing team will conduct the door-to-door listing or whether it will be done by the interviewer teams as they arrive in the PSU* ▪ The Survey Firm will provide the STEP Consortium an Excel spreadsheet with the total number of households listed in each of the selected PSUs. ▪ The Survey Firm will keep the complete household listings in each PSU ready for verification by the STEP Consortium and provide any list that is requested.	√		
2. Method of Data Collection			
▪ Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method.	√		
▪ All components of the Literacy Assessment must be administered in the same visit (i.e., General Booklet and if applicable Exercise Booklet)	√		
▪ Proxy responses are not permitted for the individual questionnaire and the Literacy Assessment booklets. Furthermore the selected person must complete the assessment booklet(s) without assistance.	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
3. Minimizing Non-Response Rates ▪ A minimum response rate of 70% is the goal. ▪ **PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES** In particular: i. If a selected person is temporarily unavailable to be interviewed, 3 follow-up attempts must be made to contact the selected person before classifying the case as a non-response ii. Contact attempts subsequent to the first attempt will be made at different times of the day and different days of the week iii. If the Interviewer is unable to gain the cooperation of a selected individual, the case will be referred to the interviewer's Team Supervisor who will attempt to convert such cases to completed interviews ▪ Non-Response Bias Assessment i. Each participating country is responsible for assessing the bias due to non-response and reporting the findings to the STEP Consortium who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. (See additional information in section 3.2). ii. It is therefore critically important to make every effort to minimize the non-response rate and the resulting potential bias.	Disagreed. In Capital we expect to have lower response rate (44 percent), while in Urban areas we expect to have 86 percent response rate. In Tbilisi (the capital) we expect about 50% response rate but in other settlements response rate will be higher. Depends on the distribution of sample across capital and other settlements. In surveys with 40 percent of the sample consisting of capital settlements we get 70 percent response. If the overall share of capital within the sample is larger, the overall response rate may be lower than 70 percent. √		
	√ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
4. Activating Reserve Samples ▪ The process through which a reserve household may be activated is described in the Interviewer and Supervisor Manual. ▪ In the case of non-contact and temporary absences, at least 3 follow up visits, over a minimum of 3 days after the initial visit and at varying times on those days, must be made to try to find the household or individual respondent. ▪ If there will be any interview team in the vicinity of the households with whom there has been no contact or that are temporarily absent, revisits should continue to be made and no reserve household activated until 2 weeks before the last team leaves the area.	√ √ √		
5. Field Supervision			
5.1. Team Supervisors ▪ Each interviewer team will report to a Team Supervisor	√		
▪ Team Supervisors' responsibilities include: - Coordinating fieldwork in each assigned PSU - Full-time work with the interviewer team and on-going monitoring of each interviewer's work - Documenting non-response, activation of reserves, problems encountered - Assigning literacy booklets - Communicating regularly with the Field Manager - Selecting households to be interviewed following procedures outlined in the Technical Standards (if selection will be done in Headquarters, please specify)	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
<u>Quality control by Team Supervisors:</u> - At least one meeting per week with each interviewer to discuss progress and/or problems - Random spot visits during interviewers' work to observe household and individual interviews. For each interview observed, Team Supervisors will fill out the *Interview Evaluation Form* (Appendix 5) - Check each accepted questionnaire for completeness and accuracy, and fill out *Visual Scrutiny Form* for each questionnaire (Appendix 7) - Submit household listings and sample selections to the Project Manager - Follow-up of non-response households/ individuals according to the table in Appendix 6 which details the revisits required for each situation and whether a reserve household should be activated	√ √ √ √ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
- Visit verification and selection of individual respondent verification: The Supervisor or Field Manager (or assistants) will revisit 15% of each interviewer's finalized cases. In the event that a respondent is not available during the initial follow-up visit, a telephone follow-up may be carried out for no more than one third of the revisits. The households to revisit will be selected randomly by the Field Manager. During each revisit, the Supervisor will complete a *Check up Visit form* (Appendix 8). The Fieldwork Manager should participate with the Team Supervisor in some of these revisits, unannounced, with households chosen by the Field Supervisor, in order to check on the Team Supervisors. The STEP Consortium may also ask to attend verification revisits, and randomly choose the Households to revisit.	√ √ √ √ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
5.2. Field Manager/ Regional Field Managers ▪ The Field Manager is responsible for the entire data collection/ fieldwork of the survey	√		
▪ The Field Manager's responsibilities include: - Setting up the field structure, with Regional Fieldwork Managers if required. *Please briefly explain the field reporting structure* - On-going monitoring of fieldwork - Communicating regularly with Project Manager	√		
<u>Quality control by Field Manager/ Regional Field Managers:</u> - Frequent communication with interviewer Team Supervisors to discuss progress and/or problems - Random spot visits to PSUs to observe progress, proper filling of forms, the supervisor's follow-up of non-response households/ individuals, etc. - For each team, select the households to be revisited by the Team Supervisor to check for proper interviewing (or transmit the selection done at Headquarters) - The Fieldwork Manager should participate with the Team Supervisor in some of these revisits, unannounced, in order to check on the Team Supervisors	√ √ √ √		
5.3. Interviewer Performance In the event an interviewer's work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone	√		

5.4. Communication *Please indicate the methods through which the staff will be communicating during fieldwork. E.g., scheduled daily/weekly telephone calls, e-mail of supervisors*	*Supervisors will be responsible for weekly reporting to the Field Manager and also daily updated by phone. The written fieldwork report will be submitted by Field Manger by the end of the fieldwork.*		
6. Fieldwork Monitoring by STEP Consortium			
▪ **Weekly Report**			
- The STEP Consortium will provide a Weekly Report template to the survey firm (see Appendix 9)	√		
- Each participating country will send a Weekly Report to the STEP Consortium during data collection	√		
- Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.	√		
▪ **Verification of Fieldwork** - The Survey Firm will keep Supervisor Forms readily available for random checks by the STEP Consortium. The Supervisor Forms are provided in the Operation Manual and in the Interviewer and Supervisor Manual and comprise a *Visual Scrutiny Form* for the questionnaires, an *Interviewer Evaluation Form* and a *Check-up Visit Form.*	√		

2.7. Data Processing

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
1. Data Capture and Verification Plan **a. General** ▪ Each country's STEP data file will be created according to the Variable Convention provided by the STEP Consortium. ▪ The STEP Consortium will provide two Data Entry Programs: - one for the household survey questionnaire - and a second one for the literacy module. ▪ The STEP Consortium will provide training on the use of both programs to the country's IT team	Household Questionnaire data, will be entered in CSpro but the Literacy data MUST be captured using ETS' DEP √ √		
▪ **Training of the Data Entry persons:** they should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work	√		
▪ There will be a 3-day training session on the Data Entry program at the end of the interviewer training *Please provide the name of the trainer*	√Giorgi Babunashvili, David Sichinava		
▪ Please provide the name of the person responsible for Data Entry and Management as well as the number of people assigned to Data Entry	Giorgi Babunashvili, David Sichinava, #of people assigned to data entry		
b. Data Entry Program for the Household Questionnaire ▪ The Survey Firm will use the Data Entry Program provided by the STEP Consortium, which is based on a custom-written Excel macro and features data capture screens mirroring the questionnaire pages. ▪ Each country must key-enter the 'write-in' entries from the response category "Other". Please specify for all questions where this category was selected. ▪ The Survey Firm will use the Variable Convention provided by	Household Questionnaire data, will be entered in CSpro but the Literacy data MUST be captured using ETS' DEP		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
the STEP Consortium to name and code the variables			
c. Data Entry Program for the Literacy Modules ▪ The Survey Firm will use the Data Entry Program provided by the STEP Consortium ▪ The Survey Firm will use the Code Book provided by the STEP Consortium	√		
d. Data Entry of Incomplete Cases ▪ The Survey Firm will provide the STEP Consortium with a data file containing a data record for each sampled household, both initial sample cases and reserve sample cases. ▪ The file must include the following minimum information, i. the sample identification number from the original sample file, ii. a final result code for each sampled case – this includes cases where an interview was obtained as well as cases that did not yield an individual interview, i.e., non-response cases and non-activated reserve households ▪ This data file will be based on the *Sample Tracking Forms* filled out during fieldwork	√ √ √		
e. Data Capture Verification ▪ Data capture of the household questionnaire and literacy modules will be entirely verified through double data entry ▪ Data will be captured twice, by two different operators ▪ All differences in the captured data will be resolved by the second data entry operator, using the STEP-provided data entry program, which flags differences	√ √ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
f. Timeframe ▪ The data entry will start no longer than 5 days after the start of the fieldwork, so that information from the data entry can inform the process of the survey	√		
▪ The country is expected to transmit the first week of data within two weeks of the start of the fieldwork and the second week of data within the first three weeks of fieldwork	√		
2. Tracking Respondents' Sample Identification Number ▪ Each household and each individual who completes the individual questionnaire should have a unique code for data entry ▪ Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires ▪ A field for recording the respondent's Sample Identification Number is required on all survey instruments (i.e., Household Roster, Household Questionnaire, General Booklet, and Exercise Booklet if applicable) and any pertinent supplementary material ▪ Countries must assign a unique booklet ID (serial number) to each prepared assessment instrument (i.e., to each General Booklet and Exercise Booklet if applicable)	√ √ √ √		
3. Final Result Codes ▪ Fields are required on the Household Questionnaire for recording the final completion status of the Household Questionnaire, the General Booklet, and any Exercise Booklet if applicable ▪ Final Result Codes provided at the end of the Household Questionnaire must be used by all participating countries to	√ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
ensure that the status of each sampled case is consistently classified (note that even non activated reserve households should be assigned a result code)			
4. Plan for Coding of the Household Questionnaire ▪ Coding will be undertaken by at least one Coder working at the Head Office *Please provide the name of the Head Coder and Assistant Coders if any* ▪ Pre-coded response categories from the household questionnaire will follow the Variable Convention provided by the STEP Consortium ▪ Each country is responsible for coding the 'write-in' responses from the response category "Other", and must provide the code set to the STEP Consortium. Each country must ensure that these coded responses are included in the editing of the data. Please specify for all questions where this category was selected. ▪ The following codebooks will be used to code education, occupation, and industry information from the Household Questionnaire: - '2008 International Standard Classification of Education (ISCED)' will be used to code the education variable, i.e., 'highest level of education' - 'ISCO Job Titles' will be used to code the occupation variable - 'International Standard Industrial Classification of All Economic Activities, Third Revision' will be used to code the industry variable.	√ Coders will be CRRC young researchers. √		
5. Plan for Coding of the Literacy Modules and Verification of Data			

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
5.1. Recruiting and Training the Scorers and Chief Scorer			
Scorers - The scorers should have more than a high-school education - An odd number of scorers is recommended to facilitate arbitration: 5 for the Full Literacy Assessment / 3 for the Partial Literacy Assessment - Two of them must be bilingual in the language(s) of assessment and English	√ √		
Chief Scorer - Each country requires a Chief Scorer who is fluent in English and the country's STEP reporting language(s) - The Chief Scorer will receive training on scoring procedures and the application of scoring rules for every assessment item - The Chief Scorer will be responsible for the training of the Scoring Team - Each country will send the Chief Scorer to the scorer training that will be provided by the STEP Consortium	√ √ √ √		
Scoring Material - A master copy of the Scorer training materials, i.e., a Scorer Training Manual, including examples and exercises, will be provided by ETS - Some adaptation of these materials may be required if a country's translation and adaptation process resulted in changes to items. The Scoring Guide would need to similarly reflect such changes	√ √		
Scorer Training - The training should last 3 days and will be given by the Chief Scorer	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
5.2. The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium and should be consistent across countries **Reading component:** - Each reading component response is captured by two different scorers/coders and code resolution will take place - Scorers/coders will use capture sheets designed to capture the responses from Part A of the General Booklet (i.e., reading components) - Scoring must be performed in a centralized location **Scoring Operation:** - Scoring should begin as soon as there are enough completed cases returned from the field to give the scoring team a reasonable workload (usually a week's amount of work for the scorers) - The STEP Consortium will provide *Scoring Sheets* to record the respondent scores for each item. This will facilitate the data capture of these scores	√ √ √ √ √ √		
5.3. Quality Control 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. These include: - Within-country inter-scorer reliability study: Rescoring a proportion of the Core (i.e., Part B of the General Booklets) and Exercise Booklets by a second scorer. - Across-country reliability study: Rescoring a set of anchor booklets by the same scoring team	√ √ √ √		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Core Team?*
- The Scoring process will be fully documented and include inter-scorer agreement reports, methods used to ensure scorer consistency, all reliability data and all quality control measures			
6. Submission of the Literacy Assessment data to ETS Each country will submit the Literacy Assessment data to ETS, following ETS' guidelines and using its Data Entry Program	√		
7. Submission of the Household Questionnaire data to the World Bank ▪ Each country will submit the Household Questionnaire data to the World Bank ▪ The edited data file should be free from errors and conform to the Variable Convention	√		

2.8. Confidentiality

Information Required	*Description*
1. Country's Data Confidentiality Requirements The Survey Firm will advise the STEP Consortium of its country's confidentiality rules regarding the handling and sharing of respondent's data.	*The country's data confidentiality requirements are described in the The Law of Georgia on Official Statistics:* http://geostat.ge/cms/site_images/law_eng.pdf

Technical Standard	*Agreed to by the Survey Firm?*
2. Steps to Ensure Data Confidentiality ▪ The survey instruments, the sampling, and the information gathered by the field workers cannot be used for personal or professional goals by the local consultant firm, field workers or the coordinator and advisor without 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.	√ √
▪ Each country will submit the data file to ETS and the World Bank STEP team (regional team and core team). Data release beyond ETS and the World Bank teams may not be done until 6 months after the submission of the final data files.	√

2.9. Quality Assurance

Technical Standard	*Agreed to by the Survey Firm?*
1. Quality Assurance ▪ Quality assurance will be addressed at all stages of the STEP. Many of the steps to ensure quality are outlined in earlier sections of this document. The following sections summarize the quality assurance measures to be implemented during the STEP.	√
2. Team Composition ▪ The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys: 1. Name of National Project Manager 2. Name of Senior Survey Methodologist 3. Name of the Field Manager 4. Name of the Data Processing Manager 5. Name of the Language Specialist	National Project Manager – Kristina Vacharadze; Senior Survey Methodologist – Giorgi Babunashvili; Data Collection Manager/ Field Manager – Mariam Kobaladze; Data Processing Manager – David Sichinava.
3. 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.	√
4. Response Rate a) Survey responses will be monitored throughout the data collection activity b) A contact strategy and a strategy to minimize non-response (described earlier in this report) will be developed and implemented.	√ √
5. Data Processing The following quality assurance procedures are planned: a) Test of the data capture system	√

Technical Standard	*Agreed to by the Survey Firm?*
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 Variable Convention specifications provided by the STEP Consortium f) Data Editing	√ √ √ √

2.10. Schedule

Task	Responsible	Date
Sending NSDPR to WB	Kristina	21-Dec
Confirmed NSDPR from WB	WB	January
Final Sample form confirmed by WB	WB	January
Sample discussed with the supervisors	Kristina	04-Jan
Block listing forms developed by CRRC and sent to WB	Kristina	14-Jan
Block listing forms confirmed by WB	WB	January
Updating the HH questionnaire and interviewers manual based on the discussions during the training	K & M	16 - 23 January
Listing training in Tbilisi	K, G & M	22-23 January
Listing in 200 PSUs	CRRC	24 Jan - 5 Feb

Final Georgian HH questionnaire for the pretest	K & M	30-Jan
In office training before the pretest	K & M	31-Jan
The pretest	CRRC staff	1-6 February
Entering the listing data	CRRC	6-11 Feb
The pretest report sent to WB	Kristina	08-Feb
Sampling initial and reserve HHs	Giorgi	12-14 Feb
Questionnaire update after the pretest	WB and CRRC	8-14 February
Entering information in the sample tracking forms sent by WB	CRRC	15- 18 February
Final Eng and Geo quest confirmed by WB	WB and CRRC	15-Feb
Getting ready for the training: 1. Printing training questionnaires and cards. 2. Printing sample tracking forms 3. Printing maps of the PSUs 4. Printing interviewers manuals	CRRC	15-19 February
Training for interviewers and supervisors	CRRC	20 Feb. - 2 March
Starting fieldwork	CRRC	03-Mar
CRRC staff in the field with interviewers	CRRC	3 - 11 March
End of the fieldwork	CRRC	14-May

Scoring	CRRC	15 May - 27 May
Data entry finished	CRRC	12-Jun
Data cleaned	CRRC	28-Jun
Final Database sent to WB	CRRC	28-Jun
"Others" translated and added to the database	CRRC	09-Jul
Final fieldwork report	CRRC	12-Jul

2.11. Budget

- EDITED -

Fieldwork		**Unit**	**# of Units**	**Unit Rate**	**Days/Events**	**Total**
	Supervisor Travel/per diems/accommodation	Person	8	$ 70	1	**$ 560**
	Enumerator Travel/per diems/accommodation	Person	**75**	$ 40	2	**$ 6,000**
	Supervisors honoraria	Person	8	$ 400	1	**$ 3,200**
	Incentives for ETS test	Person	2400	$ 5	1	**$ 12,000**
	Enumerator honoraria -- full interview (HH Q)	Questionnaire	4000	$ 6	1	**$ 24,000**
	Enumerator honoraria -- full interview (ETS)	Questionnaire	3000	$ 6	1	**$ 18,000**
	Enumerator honoraria -- non-response	Questionnaire	1600	$ 1	1	**$ 1,600**
SUBTOTAL: Fieldwork						**$ 65,360**
Fieldwork control		**Unit**	**# of Units**	**Unit Rate**	**Days/Events**	**Total**
	Completed backchecks (15% of full interviews)	Interview	600	$ 6	1	**$ 3,600**
	Travel/per-diems/accommodation	Person	10	$ 80	2	**$ 1,600**
	Call backs (15% of full interviews)	Person	600	$ 1	1	**$ 300**
SUBTOTAL: Fieldwork control						**$ 5,500**
Data Entry and Cleaning		**Unit**	**# of Units**	**Unit Rate**	**Days/Events**	**Total**
	Data entry program development		1	$ 500	1	**$ 500**
	Data entry - full interview -- entered twice (HH)		4000	$ 0.50	2	**$ 4,000**
	Data entry - full interview -- entered twice (ETS)		3000	$ 0.60	2	**$ 3,600**
	Data entry - back check -- entered twice		450	$ 0.50	2	**$ 450**
SUBTOTAL: Data Entry and Cleaning						**$ 8,550**

Analysis and Reporting		**Unit**	**# of Units**	**Unit Rate**	**Person/Events**	**Total**
	Data analysis	Day	6	$ 100	2	**$ 1,200**
	Report writing	Day	10	$ 150	1	**$ 1,500**
SUBTOTAL: Analysis and Reporting						**$ 2,700**
Incidentals (2%)						**$ 2,660**
TOTAL SURVEY						**$ 135,673**
Overheads (10%)						**$ 13,567**
TOTAL SURVEY GEORGIA						**$ 149,240**

PART 3: Sampling and Weighting Plan[1]

This section will be filled out by the Survey Firm. It will work closely with STEP Core Team's Survey Methodologist on Sampling and Weighting processes.

3.1. Target Population

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist ?* *Date*
1. Target Population – Definition The target population is defined as all non-institutionalized persons aged 15 to 64 (inclusive) living in private dwellings in the urban areas of the country at the time of the data collection. This includes <u>all residents,</u> except foreign diplomats and non-nationals working for international organizations The following are considered "institutionalized" and 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 acceptable exclusions are: ▪ Persons living outside the country at the time of data collection, e.g., students at foreign universities.	√	Conflict regions: Abkhazia and South Ossetia will be excluded from the target population. The approximate number of population aged 15 to 64 is 205,000.	**√OP 29-11-2012**

[1] Sample frame description is in appendix 11 and sampling frame is attached.

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist ?* *Date*
2. Private Dwelling Unit – Definition 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.	√		
3. Household Member – Definition 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.	√		
4. Exclusions 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.	√	*Conflict regions: Abkhazia and South Ossetia will be excluded from the target population.*	√**OP** 29-11-2012
5. Country-specific Subpopulations A country may include other subpopulations in its target population	√	< SPECIFY ANY INCLUSION OF OTHER SUBPOPULATIONS (E.G., RURAL	

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist ?* *Date*
provided that its sample design includes any necessary augmentation of the sample size to accommodate the analysis requirements for these additional subpopulations.		POPULATIONS, LANGUAGE GROUPS) >	

3.2. Sample Frame

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
1. Sample Frame - Definition ▪ The Sample Frame is the list of the population from which the STEP sample will be selected. It defines the coverage of the target population and provides the means to identify and locate selected population members ▪ The quality of the Sample Frame directly affects the quality of the selected sample, as well as the data collection operation E.g., under-coverage or over-coverage of the target population or the duplication of population members in the frame will generate errors in the selected sample. The information about the sampling frame is given in Annex 1. Sampling Framework.	√ √		
▪ The Sample 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 ▪ It should be complete, accurate and up-to-date	√ √		

Information Required	***Information Provided*** *(Type, Date, Source)*	***Deviation Requested from the Standard***	***Information Approved by the Survey Methodologist?*** *Date*
1. Frame type E.g., population register, household list, list of geographic units, etc.	List of electoral precincts		**√OP 29-11-2012**
2. Source of the frame E.g., 2010 Census, Labor Force Survey, etc.	List of electoral precincts for 2012 parliamentary elections in Georgia		**√OP 29-11-2012**
3. Definition of survey units of the frame for each stage of sampling	The first stage of sampling unit is an electoral precinct. The second sampling unit is a household. The third sampling unit is an 15 – 64 years old individual within the household		**√OP 28-12-2012**
4. Data items on the frame for each stage of sampling E.g., name, address, age, gender, education, etc.	Precinct ID precinct name precinct_location precinct address Measure of size used in the sampling frame is the estimated number of 15 – 64 years old individuals within the precinct (variable 'Estimated size'). These estimations are derived from two variables: number of registered voters (age 18 and older) in precincts from the Central Electoral Committee of Georgia and share of 15-64 years old individuals among 15-64 years old individuals calculated from the demographic data from the State Department of Statistics. This rate in calculated separately for the capital Tbilisi and for other urban settlements.		**√OP 28-12-2012**

Information Required	***Information Provided*** *(Type, Date, Source)*	***Deviation Requested from the Standard***	***Information Approved by the Survey Methodologist?*** *Date*
5. Identify the variables to be used for stratification if applicable	Settlement type (Capital; Other urban) Macrostrata (Other Urban North-East, Other Urban North-West, Other Urban South-East, Other Urban South-West) Purpose of stratification is to ensure the sample representation by strata.		**√OP 28-12-2012**
6. Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., PSUs, dwellings	Number of primary sampling units per macrostratum: Capital 718 Other Urban NE 146 Other Urban NW 373 Other Urban SE 169 Other Urban SW 147 Number of persons aged 15-64 per macrostratum: Capital 792672 Other Urban NE 149879 Other Urban NW 373680 Other Urban SE 171117 Other Urban SW 150326		**√OP 28-12-2012**

Information Required	***Information Provided*** *(Type, Date, Source)*	***Deviation Requested from the Standard***	***Information Approved by the Survey Methodologist?*** *Date*
7. Quality assurance procedures I.e., assessment of quality of the frame information i. Provide any information regarding known frame issues, e.g., under-coverage of target population, inclusion of out-of-scope units, up-to-date, duplication ii. Explain any steps taken to ensure that the frame is complete and up-to-date	CRRC uses the list of electoral precincts as a sampling frame. The original list includes special precincts created for the military and no-address population however, for the survey purposes they are omitted from the sampling frame. The demographic information of the sampling frame represents the number of actual voters in the voting precinct. The voters list (release August 2012) also includes adults who do not in fact reside in the precinct The sampling frame also takes into consideration such cases and only takes the figures of actual residents.		**√OP 28-12-2012**
8. Provide Sample Frame of PSUs to World Bank for selection of the first stage sample units	List of electoral precincts		**√OP 28-12-2012**

3.3. Sample Size

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
A minimum of 3,000 interviews must be submitted to the STEP Consortium. A sample of 6,400 households will be selected to allow for up to 50% non-response.	√		
An "interview" is achieved when the roster of household members is completed for the selected household, and the randomly selected individual from the household proceeds with the individual modules.	√		
Guidelines for Sample Size Determination			
The actual number of cases that a survey firm may need to visit in order to obtain the required number of interviews depends on, 1) the expected Response Rate and, 2) for countries that implement the Full Literacy Assessment, the expected Core Pass Rate.	√		
1) Expected Response Rate Considerations a) Since all surveys experience some level of non-response, the survey firm will need to visit extra households in order to achieve the desired number of interviews. i) A survey firm may have previously experienced reasonably good response rates in other national surveys and may feel secure in basing the response rate expectation for STEP on this past experience. However, the STEP survey is a complex survey which includes a relatively lengthy questionnaire and also includes a literacy assessment. A survey firm should not underestimate the challenges of obtaining a response rate that is similar to the response rates previously experienced in other national surveys.	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
ii) The firm should have a realistic expectation of the achievable response rate for STEP in order to estimate the actual number of visits that will be needed in order to obtain the required number of interviews.	√		
b) The sample size for the preferred STEP sample design was calculated to allow for as much as 50% non-response, which means that a sample of 6,000 households will be selected.			
i) This sample of 6,400 consists of 3,000 'initial' sample cases and 3,400 'reserve' sample cases. The 3,000 'initial' cases will be initially visited in an attempt to obtain the required number of interviews. When a non-response is encountered amongst the 'initial' sample, a 'reserve' sample case will be activated to compensate for the non-response. The procedures for use of the 'reserve' sample will be provided in the field Operations Manual.	√		
ii) If a survey firm expects more than 50% non-response, more than 6,400 households will need to be selected. For example if a survey firm expects there could be 60% non-response then a sample of at least 7,500 households would be required. If there is an expectation of more than 50% non-response, the survey firm should discuss the non-response expectation and the plans to minimize the non-response with the World Bank team representative.	√		
iii) If a survey firm expects less than 50% non-response, less than 6,400 households will need to be visited. It is important to note that a survey firm is only required to use as many reserve sample cases as is necessary to obtain the required number of interviews. For example, if a survey firm requires 3,000 interviews and expects a 30% non-response rate (i.e., 70% response rate) then only 4,286 (=300/70%) of the 6,000 sampled cases would be used. In other words, for this example, in order to obtain the required 3,000 interviews, the final	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
sample of 4,286 cases would consist of the 3,000 'initial' sample cases and 1,286 'reserve' sample cases.			
2) <u>Expected Core Pass Rate Considerations</u> (applicable only for countries that will implement the Full Literacy Assessment)			
a) It is important that the survey yields a sufficient number of Literacy Exercise Booklets to be able to properly report on a country's literacy level. Hence, the number of interviews required also depends on the expected Core Pass Rate, i.e., the expected number of respondents that will correctly answer at least three Core questions in the General Booklet and proceed to complete a Literacy Exercise Booklet.	√		
b) For the purpose of determining the sample size requirement, a reasonable estimate for the Core Pass Rate might be the country's urban literacy rate. For example, if a country's urban literacy rate is 90% it might be reasonable to assume that 90% of the selected persons that agree to undertake the literacy assessment will pass the Core portion of the General Booklet and proceed to a literacy Exercise Booklet.	√		
c) In general, if the expected Core Pass Rate is 80% or higher then a minimum of 3,000 interviews will likely yield a sufficient number of completed literacy Exercise Booklets to satisfy the need for reporting a country's literacy level.	√		
d) Table 2 provides the actual number of households that would need to be visited for a few different expected response rates and expected Core Pass rates.	√		
Table 2: Number of Households to Visit for a Few Core Pass Rates and Response Rates			

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

Desired Sample Yield	Expected Core Pass Rate [e.g., Estimated Country Urban Literacy Rate]	Expected Response Rate	Sample Size for Core Pass Rate & Response Rate [Actual # of Households to Visit]
n_0	C_P	R	n_1
3000	80%	70%	4286
3000	70%	70%	4898
3000	60%	70%	5714
3000	80%	60%	5000
3000	70%	60%	5714
3000	60%	60%	6667
3000	80%	50%	6000
3000	70%	50%	6857
3000	60%	50%	8000
3000	80%	40%	7500
3000	70%	40%	8571
3000	60%	40%	10000

e) The above table clearly does not include all possible combinations of expected Core Pass Rate and Response Rate. If a country's expected rates are not included in the above table, the Survey Firm should contact the World Bank Survey methodologist to discuss the country's expectations for the Core Pass Rate and the Response rate so that the survey firm and World Bank Survey methodologist can together determine the actual country-specific estimated number of households that will need to be visited to yield the required number of interviews. √

√

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
f) In addition, for the Full Literacy Assessment, the final sample of completed literacy booklets must yield an equal number of each of the four Exercise Booklets. g) The survey firm is required to actively monitor the survey returns to ensure that the required equal distribution of literacy Exercise Booklets is achieved.	√		

Information Required	*Sample Size and Assumptions*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
1. Sample Size			
a) Provide the country's **final sample size goal** by sample design variable E.g. Total Sample Size by strata, by PSU, etc. Note: Minimum Sample Size - 6,400 households (3,000 for the initial sample and 3,400 for the reserve sample).	Minimum Sample Size - 6,400 households (3,000 for the initial sample and 3,400 for the reserve sample). The sample is allocated proportionally to the estimated number of 15-64 years old individuals within the macrostrata. Initial sample: Capital 1452 Other Urban NE 275 Other Urban NW 685 Other Urban SE 313 Other Urban SW 275 Reserve sample: Capital 1852 Other Urban NE 275 Other Urban NW 685		**√OP 28-12-2012**

Information Required	*Sample Size and Assumptions*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
	Other Urban SE 313 Other Urban SW 275 In the first stage, at least 200 PSUs will be selected with probability proportional to size (PPS) The measure of size is the estimated number of 15-64 years old individuals within the macrostrata. In the second stage, 15 households will be systematically selected as the target sample in each selected PSU. In addition, 15 households will be systematically selected as the reserve sample in each selected PSU		
<u>Sample size determination assumptions:</u> b) What is the expected response rate? c) What is the expected Core Pass rate (or if using adult literacy rate as a proxy, the urban adult literacy rate)	In Capital we expect to have lower response rate (44 percent), while in Urban areas we expect to have 86 percent response		**√OP 28-12-2012**

Information Required	*Sample Size and Assumptions*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
	rate Expected Core Pass rate is 80 percent. The reserve sample size was calculated based on 44 percent anticipated response in Capital and 50 percent response in other urban strata.		
d) **<u>If applicable:</u>** Provide the **rationale for additions to the sample size** to satisfy country-specific data analysis objectives.	The reserve cases will be activated on a controlled basis in the order in which they were selected.		
e) Data analysis objectives E.g., identify the important data breakdowns or survey estimates to be derived from the survey data. f) Precision goals for the survey estimates.	There are no such data breakdowns within this survey. The survey sample was determined by practical/budget considerations.		

3.4. Sample Design

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
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.	√		
In addition, the sample selection process must be objective (i.e.**,** a random selection method must be used) at all stages of sample selection.	√		
Preferred Sample Design: A sample of at least 6,000 households (i.e., 3,000 initial sample and 3,400 reserve sample) will be selected in at least two stages. **1. In the first stage**, at least 200 small territorial areas (hereafter referred to as *Primary Sampling Units*, or *PSUs*) will be selected with probability proportional to size (PPS). **2. In the second stage**, 15 households will be systematically selected as the target sample in each selected PSU. In addition, 15 households will be systematically selected as the reserve sample in each selected PSU. **3. Subsequently, at a third stage** of sample selection the main respondent will be randomly selected in each visited household from among all household members aged 15 to 64 years. The selection method for the main respondent is described in the household questionnaire. The substitution of the main respondent is not allowed.	√		
▪ 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. The measure of size is the estimated number of 15-64 years old individuals within each of the five mentioned macrostratum. ▪ The sample is stratified by settlement type and location variable (Capital, Other Urban North-East, Other Urban North-West, Other Urban South-East, Other Urban South-West), The sample is allocated proportionally to estimated number of 15-64 years old individuals within each of the five	√		

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
mentioned macrostratum. ▪ The sampe yiealds three stage design: ▪ At the first stage electoral precincts within macrostratum will be selected by probability proportional to size method. The measure of size is the estimated number of 15-64 years old individuals within each of the five mentioned macrostratum. ▪ At the second stage 15 households are randomly selected within the selected precincts. ▪ At the third stage 15-64 years old individual is randomly selected within the household.			
▪ The selection of households (15 initial sample and 15 reserve sample) within selected PSUs will follow STEP Consortium guidelines.	√		
▪ 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.	√		
▪ All countries must use the same procedure for selecting a person within a household. The procedure will be provided by the STEP Consortium.	√		

3.5. Sample Selection

The sample of first stage units will be selected by the World Bank survey methodologist. In addition, the survey methodologist will provide the Exercise Booklet assignment indicator for the initial sample.

Information Required	*Information Provided* *(Type, Date, Source)*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
1) Sample Frame of Primary Sampling Units (PSUs) a) The Survey Firm will provide a file containing the most current list of PSUs to the STEP Consortium. b) The list must include a suitable measure of size (e.g., number of households, number of persons 15 to 64, number of persons) for each PSU for selecting the sample of PSUs with probability proportional to size. c) Upon receipt of the sample frame and agreement of its suitability for STEP sampling, the STEP Consortium will select the initial sample of PSUs, and a reserve sample of PSUs for use when it is not possible to conduct any interview in an entire initially-selected PSU	√		

3.6. Response Rate Goal and Non-Response Bias Assessment

Information Required	*Information Provided* *(Type, Date, Source)*	*Deviation Requested from the Standard*	*Deviation Approved by the Survey Methodologist?* *Date*
The response rate goal is to obtain an interview from at least 70% of the sampled households.	Disagreed, in Capital we expect to have lower response rate (44 percent), while in Urban areas we expect to have 86 percent response rate		**√OP 28-12-2012**

Information Required	*Proposed Plan to Assess Non-response Bias*	*Deviation Requested from the Standard*	*Approved by the STEP Team?* *Date*
1. Non-response Bias Assessment a) Each participating country will carry out an assessment of the bias due to non-response and report the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. b) Results from countries with response rates below 50% will not be published unless the country can provide the WB with evidence that the potential bias introduced by the low response rates is unlikely to be greater than the bias associated with response rates above 70%. c) If a country attains less than a 50% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the STEP Team, the country's survey results may be included in the STEP international survey publications with asterisks and footnotes as appropriate.	A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A comparison of		**√OP 28-12-2012**

Information Required	*Proposed Plan to Assess Non-response Bias*	*Deviation Requested from the Standard*	*Approved by the STEP Team?* *Date*
d) The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include: ▪ A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A possible non-response follow-up procedure is to ask non-respondents a brief set of questions related to background questionnaire items. ▪ A comparison of sample counts of key respondent variables to external totals from a reliable source; ▪ A comparison of respondents and non-respondents on auxiliary Sample Frame variables; ▪ A comparison of response rates by industry subgroup; ▪ A comparison of estimates before and after weighting adjustments; ▪ A comparison of "late" or "hard-to-contact" or "non-cooperative" respondents to "early" or "easy-to-contact" or "cooperative" respondents; ▪ Calculation of the range of potential bias.	"late" or "hard-to-contact" or "non-cooperative" respondents to "early" or "easy-to-contact" or "cooperative" respondents;		

3.7. Weighting

The Weighting will be carry out by the STEP Survey Methodologist.

Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Approved by the Survey Methodologist?* *Date*
1. Description of Weighting Procedures Include a description of the post-stratification strategy a. Specify the variables to be used for 'benchmarking' b. Specify the source of the file to be used to create benchmark weights	"Estimated size" variable includes estimated number of 15-64year old individuals per cluster and will be used for calculating benchmark weights. The file is a list of electoral precincts from the central elections committee.		
2. Weighting Procedures a. The weighting of each country's clean data file will be carried out by the STEP Consortium. b. The weighting of the respondent records will be consistent with the <COUNTRY> probability sample design. c. Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file. The following weights will comprise part of each respondent record:	√ √ √		

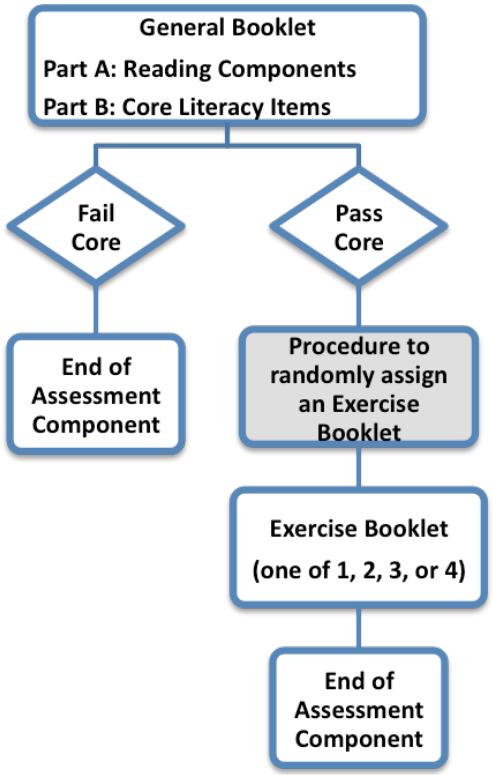
Technical Standard	*Agreed to by the Survey Firm?*	*Deviation Requested from the Standard*	*Approved by the Survey Methodologist?* *Date*
- Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage. - Final Population Weight - Non-response adjusted sample design weight, i.e., based on the sample design weight and adjusted for non-response. - Benchmark weight (applicable if there are more recent known population totals or there are more reliable known population totals from a source other than the Sample Frame) - the weight resulting from the adjustment of the survey results to known population totals. - Jackknife replicate weights - there will be 30 of these weights which are used to calculate the standard error of the survey estimates	√ √ √ √		

Weighting Information Required	*Information Provided* *(Type, Date, Source)*	*Approved by the Survey Methodologist?* *Date*
Final Clean Data File The Final Clean data file must include, i. one sample record for each sampled case, i.e., both initial and reserve sample; Note: this means that there must be a line in the data for: a. Each household attempted, even if the household was a non-response in such a case, the only information required will be the household ID and final response code (01-09). b. Each case in which the household roster was completed, but no individual interviewed. In such a case, the data required will be the household ID and the result code for the interview.	√ √ √	

Weighting Information Required	***Information Provided*** *(Type, Date, Source)*	***Approved by the Survey Methodologist?*** *Date*
c. Each non-activated reserve households. In such a case, the data required will be the household ID and the result code for the interview. d. Each valid interview. In such a case, the data will include answers to the questionnaire and the result code for the interview.	√	
ii. A response code (see list of possible result codes in Appendix 10) for each sampled case.	√	
iii. If the listing is done, a separate file of the PSU number and number of listed households in each PSU must be provided.	√	
	√	

Appendix

Appendix 1. Workflow – Full Literacy Assessment



Appendix 2. Qualifications and Expertise of Each Key Project Team Member

Koba Turmanidze earned an MPA from the American University (Washington, DC) and a M.A. in Political Science from Central European University (Budapest, Hungary). He also holds a diploma in history from Tbilisi State University. Since 2005 he has held the position of Assistant Professor at Tbilisi State University, where he has taught economies in transition, research methods and network analysis courses in the Department of Political Science and the Center for Social Sciences. Prior to joining CRRC, Koba worked as a Senior Analyst for Transparency International - Georgia; he has held administrative positions at Eurasia Foundation - Georgia, the Georgia Governance and Civil Society Project, and the Parliament of Georgia. Koba also taught at the Georgian Institute of Public Affairs (GIPA) and was an International Policy Fellow at the Center for Policy Studies (Budapest, Hungary). Koba's research interests include structural analysis of economic transition and social movements.

Kristina Vacharadze worked as the South Caucasus Regional Coordinator for the Academic Fellowship Program at OSGF during the years 2004-2006. Prior to this she was the Caucasus Program Assistant at the Civic Education Project; Research Assistant for a team which was evaluating the micro-credit activities of FINCA and Constanta and a teacher in the New School. Her educational background includes a M.A. in gender studies from Central European University and a B.A. from Tbilisi State University, Faculty of Western European Languages and Literature.

Mariam Kobaladze holds M.A. in Social Sciences from Tbilisi State University, Center for Social Sciences and B.A. in English language from Ilia Chavchavadze State University. In 2008, she went through the summer course in political and economic systems at the American Institute for Political and Economic Systems (AIPES) in Prague, Czech Republic.Prior to joining CRRC, Mariam has worked in the long-term observation team of NDI (National Democratic Institute for International Affairs) for parliamentary elections 2008. She was NDI's parliamentary intern for one year serving at the Speaker's Office. Mariam worked at the English-language newspaper Georgia Today both as a contributor and as an executive editor. Her research interests include political and public institutions in transitional countries and democracy development.

Giorgi Babunashvili holds M.A. in International Relations from Tbilisi State University State University. Prior to joining CRRC, he worked as a Lead Research Associate in a team for evaluation of the Ilia Chavchavadze Program for Reforming and Strengthening Georgian Secondary Education System. Giorgi also worked as Research Assistant for Centre for Social Studies and Administrative Officer in small business

advocating project in Union Business League. Giorgi's research background includes 2007 scholarship from Heinrich Böll Foundation and joint research with ESI. His research interests are political parties and processes of political transition in post-Soviet societies.

David Sichinava is a PhD student at Tbilisi State University, faculty of social and political sciences. His research interests are located in the field of Human Geography, especially in spatial analysis of electoral behavior and in development of GIS applications for social and political sciences. In 2008-2009 David worked as an assistant in a research project "Presidential and Parliamentary elections of Georgia" implemented by CRRC, National Democratic Institute (NDI) and TSU department of Human Geography.

Distribution of staff time:

1. Kristina Vacharadze – 100%
2. Mariam Kobaladze – 70% will work full time from October 3 to December 31. Also, from February 1 till May 31.
3. Giorgi Babunashvili – 15% will work full time during the preparation of sample for employer’s survey and household survey.
4. David Sichinava – 25% will work full time from October 10 to November 31. Also, from February 1 till May 31.
5. Koba Turmanidze – 10% will work full time while working on the report.

Appendix 3. Survey Firm Experience

The Caucasus Research Resource Centers (CRRC) is a program of Eurasia Partnership Foundation funded by the Carnegie Corporation of New York. CRRC is a network of research and research support centers established in the capital cities of Armenia, Azerbaijan and Georgia. CRRC's goal is the strengthening of social science research and public policy analysis in the South Caucasus. The CRRC network offers scholars and practitioners stable opportunities for integrated research, training and collaboration in the region.

Since the opening of the centers in 2003, CRRC has become a nexus of activity for social science community in the South Caucasus by providing open access to scholarly literature, data, and professional training for social science researchers. Direct and indirect beneficiaries of CRRC are social science researchers, faculty members from academic institutions, and policy practitioners from non-governmental, private and public sectors.
To deliver quality results, CRRC uses advanced survey techniques, implemented with particular rigor. Our Caucasus Barometer is the largest coordinated data gathering effort in the South Caucasus. Conducted in four languages (with an English-language source questionnaire), now in its eighth year, with about 7000 respondents, it seeks to establish the highest standards of survey work in the region, including painstaking sampling, translation and detailed documentation of all major decisions. To run this successfully, CRRC blends international expertise with highly committed local professionals. Results of CRRC research have been presented to most major organizations in the region, and are quoted widely.

CRRC has both strong local and global linkages. It actively participates in national as well as international NGO meetings and conferences. CRRC-Georgia has undertaken a wide variety of local research projects, which have contributed to local capacity building. For past projects, CRRC has closely cooperated with many Georgia-based NGOs and international organizations, including WB, EWMI, USAID, TI, UNDP, NDI, NORC, GIZ, CARE, IFES, Saferworld, the Foreign and Commonwealth Office, and others. Further details are available on our website at www.crrc.ge.

CRRC staff includes a local and international team of experts trained in a wide variety of quantitative and qualitative techniques. CRRC already has a wealth of data on political, economic and social issues, many of which include perceptions between ethnic groups in Georgia, as well as

trust towards a broad range of public institutions. Additionally, CRRC already has a Georgian, Armenian and Azerbaijani-speaking fieldwork staff (interviewers and supervisors) who are highly qualified, experienced and who receive training before each survey using techniques created by the American Association of Public Opinion Research (AAPOR)—the world's leading organization on standards of survey practice.

Assignment name: JILEP (Judicial Independence and Legal Empowerment Project	Approx. value of the contract (in current US$): $564,074
Country: Georgia Location within country: Tbilisi	Duration of assignment (months): 48 months
Name of Client: East West Management Institute (EWMI)	Total No. of staff-months of the assignment:
Contact Person, Title/Designation, Tel. No./Address: Mariam Kobaladze, Researcher, 2505 290, Zandukeli Str. 16	
Start date (month/year): October 12, 2010 Completion date (month/year): September 30, 2014	No. of professional staff-months provided by your consulting firm/organization or your sub consultants: 36 months

Name of associated Consultants, if any: Lucy Flynn	Name of senior professional staff of your consulting firm/organization involved and designation and/or functions performed (e.g. Project Director/Coordinator, Team Leader): Hans Gutbrod - Regional Program Director Koba Turmanidze – Country Director Kristina Vacharadze – Program Manager
Description of Project: The main research objective was to conduct a study to assess the knowledge and attitudes of the Georgian population and legal professionals about the judicial system in Georgia and contribute to JILEP program development and evaluation	
Description of actual services provided by your staff within the assignment: Nationwide Research Package Rule of Law Survey Targeted Focus Groups In-depth Interviews with legal professionals and business leaders Survey & Focus Groups on Adaptive Research to Hone On-going Programming Final Research and Evaluation (General Public Survey)	

Assignment name: MCG Impact Evaluation - Multipurpose Validation Survey	Approx. value of the contract (in current US$): $151,443
Country: Georgia Location within country: nationwide	Duration of assignment (months): 6 months
Name of Client: NORC	Total No. of staff-months of the assignment:
Contact Person, Title/Designation, Tel. No./Address: Kristina Vacharadze, Program Manager, 2505 290, Zandukeli Str. 16	

Start date (month/year): October 1, 2011 Completion date (month/year): March 31, 2012	No. of professional staff-months provided by your consulting firm/organization or your sub consultants: 13 months
Name of associated Consultants, if any: Lucy Flynn	Name of senior professional staff of your consulting firm/organization involved and designation and/or functions performed (e.g. Project Director/Coordinator, Team Leader): Hans Gutbrod - Regional Program Director Koba Turmanidze – Country Director Kristina Vacharadze – Program Manager
Description of Project: Collect data on the impact of international aid and level of socio-economic development of the Georgian population and verify other data sources.	
Description of actual services provided by your staff within the assignment: Survey database of 1500 households Tables and charts Final report	

Assignment name: Caucasus Barometer	Approx. value of the contract (in current US$): USD 1,603,967
Country: Armenia, Azerbaijan, Georgia Location within country: nationwide	Duration of assignment (months): 26 months
Name of Client: The Carnegie Corporation of New York	Total No. of staff-months of the assignment:
Contact Person, Title/Designation, Tel. No./Address: Tinatin Zuabishvili, Project Coordinator, 599 155219	
Start date (month/year): April 2010 Completion date (month/year): June 2012	No. of professional staff-months provided by your consulting firm/organization or your sub consultants:
Name of associated Consultants, if any: Tinatin Zurabishvili	Name of senior professional staff of your consulting firm/organization involved and designation and/or functions performed (e.g. Project Director/Coordinator, Team Leader):

Lucy Flynn Irakli Naskidashvili	Hans Gutbrod - Regional Program Director Koba Turmanidze – Country Director
Description of Project: The Caucasus Barometer survey runs annually in Armenia, Azerbaijan, and Georgia based on the same methodological approach and the same survey instrument. The goal is to obtain comparable data on household composition, social and political attitudes, and practices across the South Caucasus.	
Description of actual services provided by your staff within the assignment: Cleaned dataset in SPSS, Stata Tables and charts Online Data Analysis Report	

Appendix 4. Training Agenda

Agenda for the Main Training of Interviewers and Supervisors (STEP)
DURATION: 10 DAYS

	9 AM	10 AM	11 AM	12 AM	1 PM	2 PM	3 PM	4 PM	5 PM	EVENING SESSION, or during class exercises in afternoon
Day 1	Regis-tration of partici-pants	**GENERAL INTRODUCTION:** Presentation of the survey project, general objectives, etc. - Presentation of the training agenda	Coffee break	Interviewer's Tasks Survey Methodology and Procedures Introduction to the questionnaire & COVER.	LUNCH	Module 1: Part A: Household level information	Coffee break	Module 1: Part B: Dwelling	Test #1	
Day 2	Revision of the test	Module 1: Part C: Selection of the Main Respondent / **Individual interview**: Module 2: Education	Coffee break	**Individual interview:** Module 2: Education Module 3: Health	LUNCH	Class exercises on the Modules 1 - 3: mock interviews	Coffee break	Class exercises on the Modules 1 - 3 mock interviews	Test #2	SUPERVISOR: responsibilities and reporting
Day 3	Revision of the test	Module 4: Employment Part A: Labor Force Participation	Coffee break	Module 4: Employment Part B: Overview of past 7 days Part C: Main job in past week	LUNCH	Class exercises on Module 4: mock interviews	Coffee break	Class exercises on Module 4: mock interviews	Test #3	SUPERVISOR: how to do listing and listing forms, cartography
Day 4	Revision of the test	Module 5, Work Skills Part A: Self-reported literacy/ numeracy	Coffee break	Module 5, Work Skills Part B: Skills at work / Module 11: BACK COVER	LUNCH	Class exercises on the Modules 1 - 5: mock interviews	Coffee break	Class exercises on the Modules 1 - 5: mock interviews	Test #4	**SUPERVISOR:** SELECTION OF HOUSEHOLDS ORIGINALS AND RESERVE
Day 5	Revision of the test	Module 6: Personality, behavior and preferences	Coffee break	Module 7: Language and Family	LUNCH	Module 8: Interviewer Impressions / Class exercises on the Modules 6 - 7	Coffee break	Class exercises on the Modules 6 - 7: mock interviews	Test #5	
Day 6	Revision of the test	**FIELDWORK PRACTICE**: Complete Modules 1 to 8 in **HOUSEHOLD # 1**								
Day 7	Discussions on the field practice results		Coffee break	Discussions on the field practice results	LUNCH	MODULE 9: READING EXERCISES, General Booklet	Coffee break	Class exercises on General Booklet: timing, practise on each other. Scoring Section B.	Test #6	
Day 8	Revision of the test	MODULE 9- Exercise booklet / Module 10: INTERVIEWER IMPRESSIONS	Coffee break	Class exercise on Reading Exercises	LUNCH	**FIELDWORK PRACTICE**: Complete Module 9 &10 in the same **HOUSEHOLD # 1**				
Day 9	**FIELDWORK PRACTICE**: Complete ALL Modules in **HOUSEHOLD # 2**									
Day 10	Discussions on the field practice results Re-training if necessary		Coffee break	Discussions on the field practice results Re-training if necessary	LUNCH	LAST INSTRUCTIONS DISTRIBUTION OF SURVEY MATERIAL	Coffee break	CLOSURE OF THE TRAINING		
Day 10	**SUPERVISOR:** SUPERVISION FORMS		Coffee break	**SUPERVISOR:** SUPERVISION FORMS	LUNCH		Coffee break			

Appendix 5. Supervision Form – Interviewer Evaluation

STEP Skills measurement survey
Supervision Form #2: Interviewer Evaluation

		Code	Date
PSU Sample ID	Supervisor Name:		
Household Sample ID	Interviewer Name:		

		Result?	
		Un-satisfactory	Satisfactory
1	**Comportment of the Interviewer**		
1	Did the interviewer greet everyone before beginning the interview?		
2	Did the interviewer introduce himself or herself and explain that he or she is working for STEP?		
3	Did the Interviewer explain the objectives of the survey properly, how the household was chosen, and that the Interview would be completely confidential?		
4	Did the Interviewer try to establish whether there is a multi-household dwelling?		
5	Was the interviewer polite and patient with the respondents during the interview ?		
6	Did the interviewer thank everyone at the end ?		
2	**Interview of Respondents**		
1	Did the interviewer ask the questions as they appear in the questionnaire?		
2	Did the interviewer appropriately tried to find out whether there is a multi-household dwelling? Did he appropriately tried to determine the household membership?		
3	Did the interviewer find appropriately the eligibility of each household member aged 15-64?		
4	Did the interviewer select the individual to be interviewed appropriately?		
5	Did the interviewer accept "I don't know" as an answer without probing ?		
3	**Time Spent on the Interview**		
1	Did the interviewer avoid long discussion of the question with the respondents while still being patient and polite?		
2	If the interviewer received irrelevant or complicated answers, did he or she break in too suddenly?		
3	Did the interviewer rush through the interview, thereby encouraging respondents to answer questions quickly ?		
4	**Impartiality in the Individual Interview**		
1	Did the interviewer maintain a neutral attitude toward the questions and answers dwring the Literacy Test?		
2	Did the interviewer volunteer an opinion ?		
3	Did the interviewer appear surprised or shocked or disapproving about any of the answers?		
4	Did the interviewer suggest answers when asking the questions in Module 6?		

Appendix 6. Supervisor's Guide to Revisits and Activating Reserve Households

RESULT CODES code	REASON FOR ACTIVATING A RESERVE (before a questionnaire is started)	100% revisit by supervisor	supervisor try to convince respondent	Activate reserve household?
1	Household refused to be interviewed (time constraints, did not want the bother, other general refusal)	Y	Y	Y
2	Household refused or could not be interviewed because of unusual circumstance (death in family, illness, fire in dwelling, etc)	Y	Y- see if can schedule later or some other solution	Y
3	No knowledgeable household member could be found, after 3 revisits (only child, non-competent adult, etc)	n		Y
4	Temporarily absent/ unavailable for field period (information from others)	n		Y
5	No competent household member to interview (because of severe illness, mental disability, etc)	n		Y
6	Language problem - no one in the household spoke a language that could be understood by survey team, and no translator available SPECIFY LANGUAGE_____	n		Y
7	Dwelling could not be found/ given address has no household	n		Y
8	Dwelling is empty	n		Y
9	Dwelling is no longer habitable/ dwelling is destroyed/ dwelling has been changed to commercial use.	n		Y

	INDIVIDUAL MODULES 2-7 NOT BEGUN	100% revisit by supervisor	supervisor try to convince respondent	Activate reserve household?
31	No household member in the eligible range of 15-64	n		Y
32	Selected individual refused (time constraints, did not want to bother, other general refusal)	Y	Y	Y
33	Selected individual could not be interviewed because of unusual circumstance (death in family, serious illness, fire in dwelling, etc.)	Y	Y	Y
34	Another household member refused to let selected individual do individual modules	Y	Y	Y
35	Selected individual could not be contacted after three visits during field period	Y		Y
36	Selected individual will be absent for the entire field period (information from household member)	Y		Y
37	Selected individual is deaf or so hard-of-hearing that cannot do survey, and no translator available	Y		Y
38	Selected individual has a learning or mental disability so that he or she is unable to answer (including emotional conditions like severe depression)	n		N -select again from the HH if eligible members; otherwise, Yes activate a reserve
39	Selected individual has a speech impairment that prevents doing the survey, and no translator available	Y	N	Y
40	Language problem - selected individual did not speak a language that could be understood by survey team, and no translator available SPECIFY LANGUAGE_____	Y	N	Y

	INDIVIDUAL MODULES BEGUN BUT NOT COMPLETED.			
51	Individual refused to continue (time constraints, did not want the bother, other general refusal)	Y	Y	N
52	Individual interview could not be continued because of unusual circumstance	Y	Y	N
	GENERAL BOOKLET (MODULE 9) NOT BEGUN			
61	Individual does not read the language of the General Booklet so refused to begin.	n		N
62	Individual refused to begin General Booklet (time constraints, did not want to bother, other general refusal)	Y	Y	N
63	Individual could not do General Booklet because of unusual circumstance	Y	Y - see if can schedule later	N
64	Individual could not do General Booklet because of blindness or visual impairment.	n		N
65	Individual could not do General Booklet because of a physical disability (cannot hold pen, etc).	n		N
	GENERAL BOOKLET (MODULE 9)			
71	Individual looked through the Booklet but unable to read and write the language of the Booklet so did not begin.	n		N
72	Individual began General Booklet but refused to continue	Y	N	N
73	Individual had too long an interruption in the General Booklet, so it could not be resumed.	n		N
74	General Booklet stopped because of unusual circumstance.	n		N
75	Individual attempted the General Booklet but did not mark any answers	n		N
76	Individual marked some items of the General Booklet but did not attempt all items.	n		N
77	Individual marked some of the General Booklet and attempted all the items.	n		N
78	Individual marked all questions of the General Booklet.	n		N

Appendix 7. Supervision Form – Visual Scrutiny

STEP Skills measurement survey
Supervision Form #1: Visual scrutiny of the questionnaires

PSU Sample ID: _____ **Supervisor Name :** _____ **Code:** _____ **Date:** _____

#	Verification	HOUSEHOLD SAMPLE ID's Tick ( ) below each household if checked and is correct and mark "x" if wrong														
		#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	#11	#12	#13	#14	#15
0	Cover page: Are the household identifiers (PSU ID, hhld ID, check digit) and the interviewer's code correctly filled?															
1	Module 1, Part C, Question 6: Does the ID Code belong to an eligible member (see Part A, Question 20)?															
2	Module 2, Education: Check the skip pattern. Was it properly followed?															
3	Module 4, Employment, Part A: Check the skip pattern. Was it properly followed?															
4	Module 4, Employment, Part C: Was the Occupation in question 1 legibly written down, with all necessary details?															
5	Module 5, Skills at work, Part A: Was Occupation in question 1 or 2 legibly written down, with all necessary details?															
6	Module 5, Skills at work, Part A: Check the skip pattern. Was it properly followed?															
7	Module 5, Skills at work, Part B: Was Occupation in question 1 legibly written down, with all necessary details?															
8	Module 5, Skills at work, Part B: Check the skip pattern. Was it properly followed?															
9	Module 6, Personality and Behavior, Part A: Was it administered through a translation?															
10	Module 6, Personality and Behavior, Part A: Is there any item left blank?															
11	Module 6, Preferences, Part B: Check the skip pattern. Was it properly followed?															
12	Module 7, Family: Check question 9 and 11: were the ID codes properly entered?															
13	Is the Literacy module timing and scoring sheet filled out?															
14	Check the back cover: are the dates and the result code properly entered?															
15	General Booklet: Is the Cover page correctly filled? Are the booklet ID, household identifiers (PSU ID, hhld ID, check digit), and the interviewer's code correctly filled?															
16	Exercise Booklet: Is the Cover page correctly filled? Are the booklet ID, household identifiers (PSU ID, hhld ID, check digit), and the interviewer's code correctly filled? Was the proper booklet-type assigned to the household?															

Appendix 8. Supervision Form – Check-Up Visit

STEP Skills Measurement Survey
Supervision Form #3: Check-up Visit

PSU Sample ID	HH Sample No.

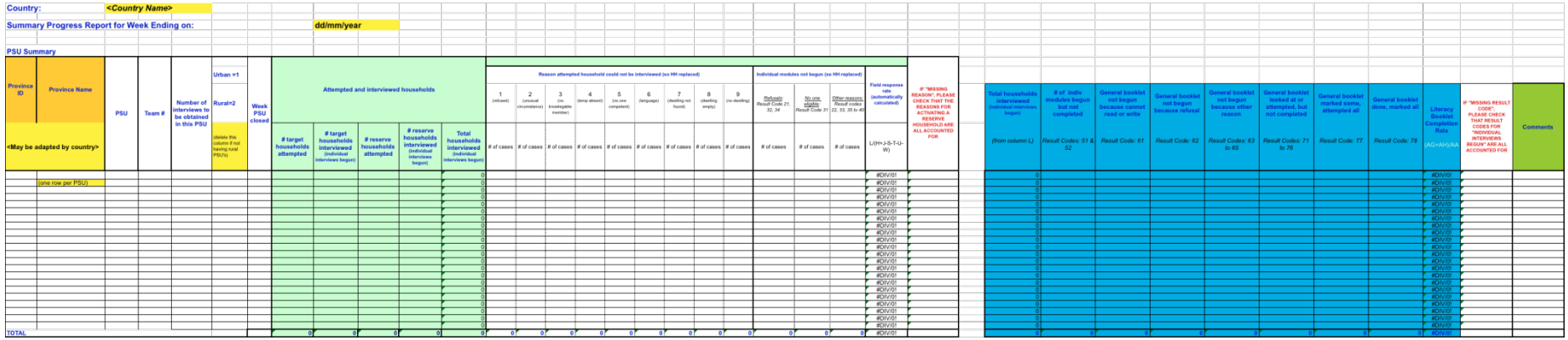
		in person	telephone
Date:			
Date:			
Date:			

Supervisor: _____ Code: ____
Interviewer: _____ Code: ____

#	Verification (if answer does not agree with interviewer's, write details)	Agrees	Does not agree
1	Is this a multi-household dwelling?		
2	How many household members 6 years old or more are in this household? CHECK WITH MODULE 1A, QUESTION 6		
3	How many household members aged 15-64 years are in this household? CHECK WITH MODULE 1A, QUESTION 18		
4	What source of energy does your household mainly use for lighting? CHECK WITH MODULE 1B, QUESTION 12		
5	Who answered the individual modules? CHECK WITH MODULE 1C, QUESTION 6		
6	Has the Individual Respondent ever attended a formal education program (formal education) ? CHECK WITH MODULE 2, QUESTION 2		
7	Did the individual respondent work for at least an hour for wage or salary in cash or in kind during the past 7 days before the interview? CHECK WITH MODULE 4A, QUESTION 1		
SUPERVISOR: ASK THE INDIVIDUAL RESPONDENT			
8	What was the language you were interviewed in? CHECK WITH BACK COVER		
9	How many different jobs did you have during the past 7 days (previous to the interview)? CHECK WITH MODULE 4B		
10	Did you easily understand what was meant by the question: "Do you think about how the things you do will affect you in the future?"	NO	YES
11	Did you easily understand what was meant by the question, "Are you relaxed during stressful situations?"	NO	YES
12	Did the interviewer give you examples or explain the questions in any way when asking questions on personality, like the two questions just mentioned? (REMIND RESPONDENT OF MODULE 6A)	NO	YES
13	SUPERVISOR: ASK THE RESPONDENT HOW MUCH OF THE INTERVIEW HE DID, AND COMPARE TO THE RESULT CODE THE INTERVIEWER MARKED FOR THE INTERVIEW. COMMENT ON AN DISCREPANCIES. IF THE RESPONDENT DID NOT BEGIN THE READING EXERCISES >>18	AGREES	DOES NOT AGREE
14	Did the interviewer provide help when you were doing the Reading Exercises (the series of short reading exercises you had to complete at the end of the interview)?	NO	YES
15	Did you try to do all the reading exercises?	NO	YES
16	Did you feel like you had enough time to complete the Reading exercises?	NO	YES
17	Measure the height of the Individual Respondent and record it here		CM

Appendix 9. Weekly Report Template (Full Literacy Assessment)

The following template will be provided in an Excel file to the Survey Firm



Country: <Country Name>

Summary Progress Report for Week Ending on: dd/mm/year

PSU Summary

Province ID	Province Name	PSU	Team #	Number of interviews to be obtained in this PSU	Urban =1 / Rural=2 (delete this column if not having rural PSU's)	Week PSU closed	Attempted and interviewed households: # target households attempted	# target households interviewed (individual interviews begun)	# reserve households attempted	# reserve households interviewed (individual interviews begun)	Total households interviewed (individual interviews begun)	Reason attempted household could not be interviewed (no HH replaced): 1 (refused)	2 (unusual circumstance)	3 (no knowlegable member)	4 (temp absent)	5 (no one competent)	6 (language)	7 (dwelling not found)	8 (dwelling empty)	9 (no dwelling)	Individual modules not begun (so HH replaced): Refusals: Result Code: 21, 32, 34	No one eligible: Result Code: 31	Other reasons: Result codes: 22, 33, 35 to 40	Field response rate (automatically calculated)	IF "MISSING REASON", PLEASE CHECK THAT THE REASONS FOR ACTIVATING A RESERVE HOUSEHOLD ARE ALL ACCOUNTED FOR	Total households interviewed (individual interviews begun)	# of indiv modules begun but not completed	General booklet not begun because cannot read or write	General booklet not begun because refusal	General booklet not begun because other reason	General booklet looked at or attempted, but not completed	General booklet marked some, attempted all	General booklet done, marked all	Literacy Booklet Completion Rate	IF "MISSING RESULT CODE", PLEASE CHECK THAT RESULT CODES FOR "INDIVIDUAL INTERVIEWS BEGUN" ARE ALL ACCOUNTED FOR	Comments
<May be adapted by country>												# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	# of cases	L/(H+J-S-T-U-W)		(from column L)	Result Codes: 51 & 52	Result Code: 61	Result Code: 62	Result Codes: 63 to 69	Result Codes: 71 to 78	Result Code: 77	Result Code: 78	(AG+AH)/AA		
	(one row per PSU)										0													#DIV/0!		0								#DIV/0!		
TOTAL							0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	#DIV/0!		0	0	0	0	0	0	0	0	#DIV/0!		

Appendix 10. Result Codes

Any household from the reserve sample that is not activated (used) will be assigned a result code of "99".

code	HOUSEHOLD MODULE NOT BEGUN
01	Household refused to be interviewed (time constraints, did not want the bother, other general refusal)
02	Household refused or could not be interviewed because of unusual circumstance (death in family, illness, fire in dwelling, etc)
03	No knowledgeable household member could be found, after 3 revisits (only child, non-competent adult, etc)
04	Temporarily absent/ unavailable for field period (information from others)
05	No competent household member to interview (because of severe illness, mental disability, etc)
06	Language problem - no one in the household spoke a language that could be understood by survey team, and no translator available SPECIFY LANGUAGE_____
07	Dwelling could not be found
08	Dwelling is empty
09	Dwelling is no longer habitable/ dwelling is destroyed/ dwelling has been changed to commercial use.

11.		RESULT CODES	PAGE 54
CODE		**HOUSEHOLD MODULE BEGUN BUT NOT COMPLETED**	
21	Household refused to continue (time constraints, did not want the bother, other general refusal)		
22	Household module could not be continued because of unusual circumstance		
		INDIVIDUAL MODULES 2-7 NOT BEGUN	
31	No household member in the eligible range of 15-64		
32	Selected individual refused (time constraints, did not want to bother, other general refusal)		
33	Selected individual could not be interviewed because of unusual circumstance (death in family, illness, fire in dwelling, etc.)		
34	Another household member refused to let selected individual do individual modules		
35	Selected individual could not be contacted after three visits during field period		
36	Selected individual will be absent for the entire field period (information from household member)		
37	Selected individual is deaf or so hard-of-hearing that cannot do survey, and no translator available		
38	Selected individual has a learning or mental disability so that he or she is unable to answer (including emotional conditions like severe depression)		
39	Selected individual has a speech impairment that prevents doing the survey, and no translator available		
40	Language problem - selected individual did not speak a language that could be understood by survey team, and no translator available SPECIFY LANGUAGE_____		
		INDIVIDUAL MODULES 2-7 BEGUN BUT NOT COMPLETED.	
51	Individual refused to continue (time constraints, did not want the bother, other general refusal)		
52	Individual interview could not be continued because of unusual circumstance		
		GENERAL BOOKLET (MODULE 9) NOT BEGUN	
61	Individual does not read or write the language of the General Booklet so refused to begin.		
62	Individual refused to begin Booklet (time constraints, did not want to bother, other general refusal)		
63	Individual could not do General Booklet because of unusual circumstance		
64	Individual could not do General Booklet because of blindness or visual impairment.		
65	Individual could not do General Booklet because of other physical disability (cannot hold pen).		
	GENERAL BOOKLET (MODULE 9) LOOKED THROUGH OR ATTEMPTED BUT NOT COMPLETED OR PASSED		
71	Individual looked at Booklet but unable to read and write the language of the Booklet so did not begin.		
72	Individual began General Booklet but refused to continue.		
73	Individual had too long an interruption in the General Booklet, so it could not be resumed.		
74	General Booklet stopped because of unusual circumstance.		
75	Individual attempted the General Booklet but did not mark any answers		
76	Individual did part or all of General Booklet but did not pass to Exercise Booklet (pass 3/8 in Section B)		
		EXERCISE BOOKLET (MODULE 9)	
81	Individual did not attempt any of the Exercise Booklet/ refused to start		
82	Individual had too long an interruption in the Exercise Booklet, so it could not be resumed.		
83	Exercise Booklet stopped because of unusual circumstance.		
84	Individual attempted some of the Exercise Booklet but did not mark any answers.		
85	Individual attempted the whole Exercise Booklet but did not mark any answers.		
86	Individual marked some of the Exercise Booklet but did not attempt all the items		
87	Individual marked some items of the Exercise Booklet and attempted all items.		
88	Individual marked all the questions of the Exercise Booklet.		

Appnedix 11. Sampling Framework

Frame type

The sampling frame is a list of electoral precincts in Georgia.

Source of the frame

The source of the sampling frame in a Central Electoral Committee.

Definition of the survey units of the frame for each stage of sampling

The survey will use three stage stratified cluster sampling. The stratification will be made by settlement type: Urban and Capital.
Sub-stratification will be done according to geographic locations. All other urban strata will have four sub-strata: North East, North West, South East and South West.
The primary sampling units are electoral precincts.
The secondary sampling units are households within electoral precincts.
The final sampling units are 15-64 years old individuals with households.

Data items on the frame for each stage of sampling

Data items for the first stage of sampling are electoral precincts. The secondary and the final units are not listed in the frame but will be selected from listed households. All inhabited households within the boundaries of the sampled precincts will be listed by trained enumerators before the actual survey. After listing is complete, households will be sampled from the list by CRRC.
Measure of size used in the sampling frame is the estimated number of 15 – 64 years old individuals within the precinct. These estimations are derived from two variables: number of registered voters (age 18 and older) in precincts from the Central Electoral Committee of Georgia and share of 15-64 years old individuals among 15-64 years old individuals calculated from the demographic data from the State Department of Statistics. This rate in calculated separately for the capital Tbilisi and for other urban settlements.

The variables within the sampling frame are:

1. PrecinctID - Precicnt ID code
2. Region - Region

3. District_KA - Disctrict name in Georgian
4. District_EN - Disctrict name in English
5. District - District code
6. Precinct - Precicnt code
7. Macrostrata - Macrostrata (Capital, Other Urban North East, Other Urban North West, Other Urban South East, Other Urban South West
8. Settlement type - Stratum (Capital, Other Urban)
9. Language - Native language of the majority of the population within the precinct)
10. Voters - Number of registered voters (18 and older) in the precinct)
11. Rate - Rate of 15-64 individuals across voters)
12. Estimated size - Estimated nuber of 15-64 individuals within the precinct
13. Altitude_m - Altitude
14. precinct name - Precinct name in Georgian
15. precinct_location - Precinct location in Georgian
16. precinct_address - Precinct address in Georgian
17. Identify the variables to be used for stratification if applicable

The variable “Macrostrata” will be used for stratification.
The variable “Estimated size” will be used as a measure of size for selecting precincts with PPS method and for allocation of sample proportionally to Macrostrata size.

Provide survey frame counts by stratum and type of survey unit as applicable to the sample design
Count of PSUs (electroral precincts) by strata

Capital	718
Urban	835

Count of PSUs (electroral precincts) by sub-strata

Capital	**718**
Capital	718
Urban	**835**
NE	146
NW	373

SE	169
SW	147

Count of final sampling units (15 - 64 individuals) by sub-strata:

Row Labels	Sum of Estimated size
Capital	792672
NE	149879
NW	373680
SE	171117
SW	150326
Grand Total	**1637674**

Count of final sampling units (15 - 64 individuals) by strata:

Row Labels	Sum of Estimated size
Capital	792672
Urban	845002
Grand Total	**1637674**

Quality assurance: provide any information regarding known frame issues

No issues are known, except that we cannot cover Abkhazia and South Ossetia regions due to the conflict.

Explain any steps taken to ensure that the frame is complete and up-to-date

We received the frame from the Central Elections Committee. We excluded special military precincts and also checked that the total population figure from the frame matches with one from the State Department of Statistics. Military precincts are special electoral precincts that created only during the elections for the military personnel.

Provide Sample Frame of PSUs to WB for selection of the first stage sample units

Please see attached CRRC_SamplingFrame_09112012_CapitalUrban.xls