

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

**LAO PDR**

**23 January 2012**



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STEP Survey**

## INSTRUCTIONS TO COMPLETE THE NSDPR

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

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## 1.0 INTRODUCTION

### **Rationale**

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

### **Report Requirement**

Over the last decade, Lao PDR has experienced high levels of economic growth and initiated a transition towards a modern economy with the development of an export sector and an incipient shift in the structure of employment (away from agriculture). Nevertheless, this transition is still at an early stage (about 70 percent of the labor force still reports agriculture, forestry and fishing as their main economic activity) and one can expect that changes in the structure of the economy will continue and possibly accelerate given the favorable growth prospects of the country. An obvious route to foster and sustain the needed structural changes is to invest in human capital to enhance productivity and enable the workforce to adapt to changing work opportunities and to use modern technology.

The Lao PDR Government has already given priority to education and training, investing substantial resources in developing its education and technical and vocation education and training (TVET) sector and in providing access to education to its population. However, despite these efforts and the rapid improvement observed in recent years, there is growing evidence that improvements in the quality of the labor force have not been fast enough and that supply of skills lags behind demand. The issues that have been detected include lack of university graduates and skilled workers, skill mismatches because of low quality of training as well as lack of unskilled labor in the formal sector. These shortages that can jeopardize growth prospects are further exacerbated by migration flows to neighboring countries such as Thailand and Cambodia.

## 2.0 PROJECT TEAM

### **STEP Standard**

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

### **Rationale**

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

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

## 2.1 Qualifications and Expertise of the Survey Institute.

### **Report Requirement**

#### 1. Identify the leading survey institute.

Since 1995, Indochina Research Ltd (IRL) has been providing unique strategic consulting, marketing research and public opinion polling services to a range of multi-national companies, NGOs as well as government, donor and UN agencies operating in the dynamic emerging markets across Indochina.

Over the last 10 years IRL has established offices across the region with Vietnam in 1995, Cambodia in 1996 and Lao PDR in 1999. All offices deliver the full array of IRL services and expertise to client organisations.

IRL specialises in providing consulting, social and marketing research services as well as turnkey IT services such as database and MIS application development. IRL's staffing capabilities, sector experience and range of clients is shown below.

| <b>OPERATIONAL PROFILE</b>        |                |                 |                  |
|-----------------------------------|----------------|-----------------|------------------|
|                                   | <b>VIETNAM</b> | <b>CAMBODIA</b> | <b>LAO PDR</b>   |
| <b>Established / Operational:</b> | 1995           | 1995            | 1999             |
| <b>Main Office (s):</b>           | HCMC, Hanoi    | Phnom Penh      | Vientiane        |
| <b>Field Offices:</b>             | 4 Major Cities | 11 Major Cities | 4 Major Cities   |
| <b>Usual Survey Coverage:</b>     | 27 Provinces   | 17 Provinces    | All 17 Provinces |
| <b>Expatriate Management:</b>     | 1              | 3               | 1                |
| <b>Local Management Staff:</b>    | 8              | 8               | 3                |
| <b>Full Time Local Staff:</b>     | 44             | 42              | 12               |
| <b>Full Time Project Staff:</b>   | 46             | 55              | 15               |
| <b>Part Time Project Staff:</b>   | 50             | 40              | 50               |
| <b>Total Staff Numbers</b>        | 149            | 148             | 81               |

#### **Selected Non-Commercial Clients**

Royal Government of Cambodia  
Government of Lao PDR  
Government of the SR of Vietnam  
PSI / DKT  
GTZ  
CARE  
USAid / EWMi / AED / DAI  
UNICEF / UNESCO  
ILO  
UNDP

#### **Selected Commercial Clients**

LAPB  
Mobitel / Mobifone / Tigo  
Coca-Cola  
Philip Morris  
Unilever  
SC Johnson  
Nestle  
MSD  
Ipsen  
Western Union

|   |  |
|---|--|
| UNFPA<br>EC / EU<br>World Bank / IFC / MPDF / ADB<br>Wild Aid / WWF | Chuo Senko<br>Epson<br>Ford<br>Samsung |
|---|--|

## Technical Capacity

IRL has more than 350 full-time and project staff located across the region. IRL has established offices located in Vietnam, Cambodia and Laos. This structure allows IRL to manage wide reaching and nationally-representative projects across a diverse range of geographic locations in each country with relative ease. IRL has supervisory level staff in each country to facilitate project implementation and comprehensive support services to our clients.









IRL's staff members have backgrounds in social and market survey methodologies, data validation, data processing, project reporting and management, social and rural development, monitoring and evaluation, statistics and database development and combine local technical knowledge with expatriate experience and management.

Our country managers are fluent in English and have proven competency in survey methodology design, MIS and database design, project management as well as providing training to client organizations in these areas.






In 2010, IRL was commissioned on more than 180 projects across region, illustrating the confidence that International Development Organizations, NGOs, Governments and the business community have in IRL's ability to undertake and co-ordinate complex large-scale projects.

Typically all IRL projects require elements of client liaison, project and survey design, project implementation, quality control, data entry, analysis and reporting. IRL has relevant skills in the following key areas:

### Survey Research

-  Survey methodology design (qualitative & quantitative) and sampling, including nationally-representative samples
-  Questionnaire design and formatting and/or adapting client questionnaires
-  Fieldwork data collection methodologies
-  Developing and implementing fieldwork quality control procedures
-  Data processing and database design, inputting quality control, analysis and reporting
-  Research training and technical support for client organisations
-  Production of documentation and materials in English & local language
-  Project management experience







### Database Management

-  Specialist experience in Excel, SPSS, Access & Visual Basic software programming
-  IT systems user needs analysis, MIS design and application development
-  IT training and technical support
-  Production of user guides and training materials in English and local language
-  GIS database application design, development, implementation and training

## Relevant Project Experience

IRL's organization structure possesses the capability to design, implement and manage a large number of multi-faceted projects simultaneously. Although IRL possess a wide array of internal skill sets, when the need arises for particular projects, IRL frequently partners with specialist consultants to ensure the best quality services are provided to the end client.

Shown below are several examples of projects conducted by IRL, and its associated consultants that formed part of the bid team. The example projects demonstrate our proven experience and clearly show our capacity to fulfil diverse requirements of different projects. Further information for any of these projects can be supplied as required but typically all these projects involved IRL providing the following services:

-  Developing / customizing survey instruments for local conditions
-  Design of data collection methodologies, including a sampling frame, and conducting both quantitative and qualitative fieldwork / data collection
-  Developing and defining baseline indicators to be used in reporting and analysis
-  Administration and co-ordination of surveys across a range of project provinces
-  Analysis of results and submission of final report outlining findings and recommendations
-  Dissemination of information amongst project partners via databases and/or reports

## 2. Project Team:

Provide an overview of the qualifications and expertise of the key project team members.

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

Reflecting the need to have senior and experienced researchers to conduct this project, all staff put forward for this project are experienced with this and many other types of quantitative and qualitative research projects. All staff will undergo training and briefing sessions to ensure that they meet project quality standards and the objectives of the research project are understood.

The survey team structure for this project is be comprised of:

| Technical/Managerial Staff |  |   |
|----------------------------|--|---|
| Name                       | Position                               | Task  |
| Chansada Souvanlasy        | Project Manager / Survey Methodologist | Overall project management; client liaison; methodology; finalization and submission of all reports to World Bank   |
| Khamsook Phommavongsa      | Fieldwork Manager                      | Overall management of fieldwork, data entry and quality control; adapt survey tools to Lao context; conduct qualitative pretest and pilot, including reporting; conduct training of supervisors and interviewers (Primary trainer for |



|                                  |  | interviewer training); draft field reports  |
|----------------------------------|--|---|
| 3 Translators                    | Translator (function as language specialist) | 2 translators to translate and adapt questionnaires and literacy module. 1 translator to do reconciliation of the translation and adaptation. Translators for the literacy module were trained by World Bank consultant working with the country team, who served as language specialist. WB consultant participated in reconciliation of literacy module translations and adaptations and review of questionnaire translations and adaptations |
| <b>Field Staff</b>               |  |   |
| Name                             | Position                                     | Task  |
| 10 Fieldwork Supervisors         | Fieldwork Supervisor                         | Overall coordination and management and quality control of fieldwork and data entry; provide fieldwork report; assist in interviewer training.  |
| 30 Interviewers                  | Interviewer                                  | Conduct actual interview and data collection  |
| <b>Office-base Support Staff</b> |  |   |
| Name                             | Position                                     | Task  |
| 1 Coding Supervisor              | Coding Supervisor                            | Supervise coding of all open-ended questions  |
| 5 Coders                         | Coder  | Coding of all open-ended questions  |
| 1 Data Processing Supervisor     | Data Processing Supervisor                   | Overall supervise data entry. Check and validate entered data. Clean entered data. Assist in analysis and reporting   |
| 1 Chief Scorer                   | Chief Scorer                                 | Supervise and conduct scoring of literacy part  |
| 4 Scorers                        | Scorer                                       | Conduct scoring of literacy part  |
| 6 data entry staff               | Data entry staff                             | Conduct data entry in central office  |

**Chansada Souvanlasy Profile:**

1. **PROPOSED POSITION** : **PROJECT DIRECTOR**
2. **NAME** : **Chansada Souvanlasy**
3. **DATE OF BIRTH** : 12th December, 1972
4. **NATIONALITY** : Lao
5. **PROFESSIONAL QUALIFICATIONS** : Master of Environmental Sciences (2001), University of Tsukuba , Japan.  
Bachelor of Civil Engineering (1996), National Polytechnic Institute, University of Laos, Laos PDR.
6. **OTHER TRAINING** : Data Analysis (on the job)  
Data Management (on the job)  
MS Access and SPSS database design (on the job)

|    |   |   |   |
|----|---|---|---|
|    |   |   | Geographical Positioning System (GPS) 2006.<br>Geographical Information System (GIS) – ArcView & MapInfo (Short Course) 2003.<br>Japanese Language and Culture, Asian Youth Fellowship Program, KL, Malaysia 1997-1998. |
| 7. | <b>LANGUAGES AND PROFICIENCY</b>            | : | Lao - Mother tongue<br>English - Fluent written and spoken ability<br>Japanese - Good written and spoken ability<br>Thai - Fluent spoken ability  |
| 8. | <b>MEMBERSHIP OF PROFESSIONAL SOCIETIES</b> | : | ESOMAR member   |
| 9. | <b>COUNTRIES OF WORK EXPERIENCE</b>         | : | Lao, Cambodia, Vietnam, Japan   |

**RELEVANT PROFESSIONAL EXPERIENCE:**

World Bank – Garment Sector Survey  
World Bank – Baseline study for evaluating innovations to expand the uptake of preventive health services in Lao P.D.R  
World Bank – Civil Service Incentives (Qualitative Research)  
World Bank – Civil Rapid assessment of the impacts of the global economic crisis on the informal sector in Lao PDR  
The Nam Theun 2 Power Company, Ltd. (NTPC) – Socio-economic Survey  
World Bank – Health Insurance (Quantitative, Qualitative and Enterprise Survey)  
World Bank – Health Seeking Behaviour (Qualitative)  
Ministry of Health/ADB – HEF Household Baseline Survey  
World Bank – Power to the Poor – Household Registration  
World Bank – Client Survey in Laos  
World Bank – Vulnerability Study in Laos  
IFC MPDF – Tourism Suppliers Survey  
USAID / AED – Avian Influenza KAP Follow-up Survey  
GTZ – Enterprise Survey 2007  
World Bank – Qualitative Study on Three Community Development Approach  
USAID / AED – Avian Influenza KAP Baseline Survey  
World Bank / MOE – Secondary School Survey  
World Bank / SEACAP – Time and Distance Survey  
EU / UNFPA - Reproductive Health Initiative for Youth in Asia (RHIYA) ELS  
Investment Climate and Productivity Survey Laos (ADB, TA 4264)  
Reproductive Health Initiative for Youth in Asia – Baseline Survey (UNFPA)  
Assessment of Grassroots Business Organizations in Cambodia, Laos and Vietnam (MPDF)  
Health Services Improvements Project – Base Line Survey (MOH/WB)  
Health Facility Based Survey (JICA-MOH)

**Khamsook Phommavongsa Profile:**

1. PROPOSED POSITION : Senior Project Manager (Social research )

2. **NAME** : **Khamsook PHOMMAVONGSA**
3. **DATE OF BIRTH** : 7th November, 1980
4. **NATIONALITY** : Lao
5. **PROFESSIONAL QUALIFICATIONS** : Bachelor of Administrative Law (2004), University of Laos, Lao PDR.
6. **OTHER TRAINING** : MS Software Computer Training,
7. **LANGUAGES AND PROFICIENCY** : Lao - mother tongue  
English - fair written and spoken ability  
Thai - good spoken ability
8. **MEMBERSHIP OF PROFESSIONAL SOCIETIES** : n.a
9. **COUNTRIES OF WORK EXPERIENCE** : n.a

**RELEVANT PROFESSIONAL EXPERIENCE:**

FFRC – Energy consumption survey

Ministry of Health/ADB – 13,000 household survey

Unicef – Blue Box program evaluation (Qualitative Research)

UXO clearance beneficial survey

World bank – Baseline Nutrition Survey (Community Nutrition Project)

PI – Bamboo user survey

AED – AI KAP survey

World Bank – Civil Service Incentives (Qualitative Research)

World Bank – Civil Rapid assessment of the impacts of the global economic crisis on the informal sector in Lao PDR

The Nam Theun 2 Power Company, Ltd. (NTPC) Socio-economic Survey

World Bank – Health Insurance (Quantitative, Qualitative and Enterprise Survey)

ADB – MOH – Household Survey

World Bank – Vulnerability Study

GTZ – Enterprise Survey 2007

World Bank – Qualitative Study on Three Community Development Approach

USAID / AED – Avian Influenza KAP Baseline Survey

World Bank / MOE – Secondary School Survey

World Bank / SEACAP – Time and Distance Survey,

EU / UNFPA - Reproductive Health Initiative for Youth in Asia (RHIYA) ELS... and Etc....

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

The qualifications and experience of IRL meets STEP Technical Standards: no deviations expected.

|                                |   |
|--------------------------------|---|
| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br> |
| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b><br> |

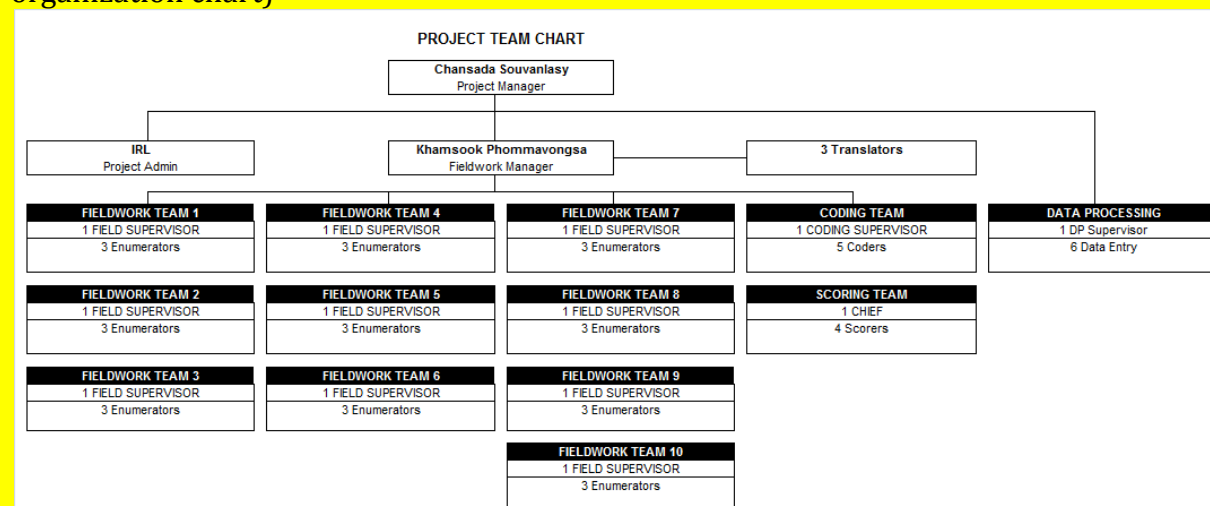
## 2.2 Project Structure

### Report Requirement


#### 1. Identify the sponsoring organization

The counterparts for this project are the Ministry of Education and Sports (Primary) and the Ministry of Labor and Social Welfare (Secondary).

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



|                                |                   |
|--------------------------------|-------------------|
| <b>I agree with the above,</b> |                   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b> |

|                            |   |
|----------------------------|---|
|                            | <i>Ximena Del Carpio</i>  |
| <b>CHANSADA SOUVANLASY</b> | <b>Signature:</b><br> |

### 3.0 SURVEY OBJECTIVES

#### **STEP Standard**

*The STEP research program has two international objectives:*

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

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

#### **Rationale**

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

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

### 3.1 **Major analytic objectives**

#### **Report Requirement**

1. Include a list of the STEP international objectives.

Skills are at the core of improving employment outcomes and increasing productivity and growth. Across countries, unemployment and low productivity employment can often be the result of workers not having the right skills to match the requirements in available job openings or having limited opportunities to access high quality pre-

employment or skills upgrading training programs. In many countries education and training systems often lack quality and labor market relevance, leaving workers ill-prepared for the labor market.

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

The research program has the following two objectives:

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

### 3.2 Country-specific objectives

#### **Report Requirement**

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

The objective of the proposed work program is to help fill existing knowledge gaps and inform policymakers in Lao PDR about the current distribution of skills in the population of working-age and the demand for these skills by employers, using a more refined measurement of skills (distinguishing cognitive, non-cognitive and technical skills). This work also aims at an assessment of the impact of different types of skills on labor market outcomes and at analyzing the extent to which there are skill mismatches. More specifically, the final report and all products from this analytical work is expected to improve the understanding of the:

- (i) current status and causes of skill shortages and skill mismatches in the Lao labor force;
- (ii) functioning of the labor market and types of skills conducive to productivity improvements;
- (iii) effectiveness of the education and training sector; and
- (iv) barriers to the acquisition of needed skills for sustained growth.

Those findings should help the Lao Government identify the types of interventions and policies that could best improve the supply of skills and promote productivity increases

in the country.

Another objective of this report is to serve as a major input into the forthcoming Lao Development Report which would build on these new findings to develop a full-fledged strategy aimed at improving the quantity, quality and relevance of skills in the Lao labor force and at removing constraints to growth. An effective policy framework would be developed, with the roles of the private and public sector well defined and recommendations for types of interventions and policies that would best foster productivity increases and address what has been identified as a major obstacle to growth in Lao PDR.

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

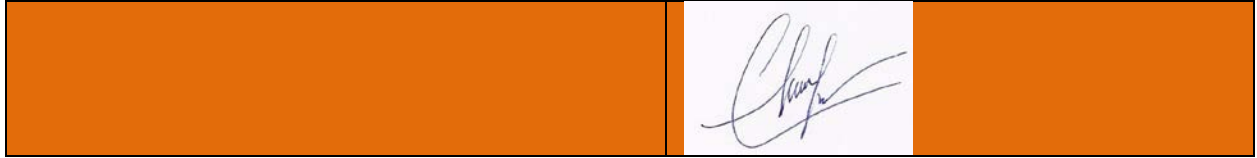
The Lao PDR Government has already given priority to education and training, investing substantial resources in developing its education and technical and vocation education and training (TVET) sector and in providing access to education to its population. However, as already mentioned, despite these efforts and the rapid improvement observed in recent years, there is growing evidence that improvements in the quality of the labor force have not been fast enough and that supply of skills lags behind demand. This shortage that can jeopardize growth prospects are further exacerbated by migration flows to neighboring countries such as Thailand and Cambodia.

The Lao PDR Government has therefore stated that one of its strategic goals towards the year 2020 is to improve the quality and relevance of skills of its labor force. Addressing skill shortages is a central pillar of the 7th National Socio-Economic Development Plan (NSEDPP) and of the country partnership and assistance strategies of the World Bank and other developing partners. In 2007 the Ministry of Education issued a new Strategic Plan for developing the TVET system and meeting the national economic development needs. Similarly, the Ministry of Labor and Social Welfare issued a strategic plan in which it outlined that it will work toward building the right skills in the labor force in order to gradually meet ASEAN standards, and be able to move towards a more export-oriented and industrialized society. The longer term target (2016-2020) set out in the strategy plan is to prepare most of the Lao workforce with industry relevant skills as well as skills that are adaptable and permit people to transition across sectors.

Given this background, the country-specific objectives mentioned above seem very well aligned with both the country's need and the government's priorities.

|                                |   |
|--------------------------------|---|
| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br><i>Ximena Del Carpio</i> |
| <b>CHANSADA SOUVANLASI</b>     | <b>Signature:</b>                             |





## **4.0     SAMPLE DESIGN FACTORS**

### **4.1     Target Population**

#### **STEP Standard**

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

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

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

#### **Operational Definitions**

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

#### **Rationale**

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

### **Report Requirement**

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

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

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

Other exclusions from the target population that are acceptable are:

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

### **Laos’ Target Population Description**

The target population comprises all non-institutionalized persons 15 to 64 years of age (inclusive) living in urban and rural areas of the country at the time of data collection. This includes all residents except foreign diplomats and non-nationals working for international organizations. There will be no exclusions for the target population.

The survey tool is designed for Lao language only (the sole national language). IRL will make every effort to interview non-Lao speaking persons through the use of local translators. In most such cases, the household and individual modules will be carried out with the assistance of a translator when available. However, Modules 6 and 9 will not be administered to those respondents who do not speak or read Lao as per STEP technical standards.

### **Operational Definitions**

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

- 4) considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;
- 5) makes some common provision for food and other essentials of living;
- 6) spent most of their daily rest at the dwelling for at least nine (9) of the past twelve (12) months; the exception to this rule are persons who have recently joined the household, have no usual residence elsewhere, and intend to spend most of their daily rest at the dwelling.

2. Specify any special additions to the target population.

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

The team plans to oversample urban population. In a country which is mostly rural (over 70% of the population still relies on subsistence agriculture), skills and educated workforce are disproportionally concentrated in urban areas. As such, the team felt that oversampling urban areas was necessary to capture as many skilled individuals as possible to better assess the distribution and quality of skills in the country.

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

According to the latest government population census (2009), the total Lao population was 5,937,867:

- Urban population - 1,767,653 (29.8%)
- Rural population - 3,673,412 (61.9%)
- Remote population - 496,802 (8.4%)

In addition to official population figures, there are new Chinese and Vietnamese immigrants who are not registered as Lao citizens living mainly in urban areas of the country. It is estimated those population is more than 500,000 (no official data).

Counts of the target population by sample design:

For STEP urban population:

- Population: **1,767,653**
- Number of household: 314,572
- Number of PSUs (villages): 1372
- Size of PSUs: max. - 1126 hh; min. - 24 hh; avg. - 229 hh

For additional rural (with road access) population:

- Population: **3,673,412**
- Number of households: 629,784
- Number of PSUs (villages): 6015
- Size of PSUs: max. - 1244 hh, min. - 6 hh, avg. - 104 hh

The population living in rural areas without road access (i.e. remote areas) will be

excluded from the sample.

Note: Village is defined as PSU. Villages are further broken down into Units, each theoretically comprised of 10 to 15 households, though the actual range can be higher.

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

In Lao PDR, the following sampling methodology will be used: PPS Sample & Household Subsample proportional to PSU size:

- 1) This method will result in variable sample sizes in the selected PSUs.
- 2) The suitable physical list of households can be obtained from the village offices.

The rationale for deviating from the STEP Technical Standards is as follows: It follows the standard methodology used by the Lao Bureau of Statistics (LBS), formerly Dept. of Statistics, due to the fact that no lower level of disaggregation than the village is available for the sample frame. In addition, no prior mapping exercise will be undertaken due to time and budget limitations, as well as the recent experience of the LBS in mapping PSUs prior to implementation of the ongoing LSIS (combination of MICS and DHS) in which the maps created were sub-standard due to lack of experience in conducting such an exercise. Furthermore, as recent information on households and population of PSUs is available, mapping prior to data collection is not considered necessary by STEP Technical Standards. Though the division of larger PSUs and the merging of smaller PSUs is theoretically possible, it is not advised due to concerns that operational issues may compromise quality.

## 4.2 Method of Data Collection

### **STEP Standard**

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

***All components of the literacy assessment must be administered in the same visit (i.e. General Booklet).***

### **Rationale**

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

### **Report Requirement**

1. State the method of collection to be used for each survey component, i.e., Filter Module, Background Questionnaire, and Literacy Assessment.

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

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

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

#### 4.3 Response Rate

##### **STEP Standard**

*A minimum response rate of 70% is the goal.*

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

##### **Rationale**

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

##### **Report Requirement**

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

The response rate for the STEP Survey in [Lao PDR](#) is expected to be <70%>.

This expected response rate is based on the following reasons:

According to IRL’s experience, the normal response rate in urban area of Laos is about 80%. However, for this survey, language issues for non-nationals are expected to result in Modules 6 and 9 not being administered to respondents who do not speak or read Lao.

protocols for replacement, etc., we expected that the response rate will be about 70%.

For rural area, the normal response rate is more than 90%, but again that for this survey, we expected response rate will be about 70% only, predominantly due to language issues as over one-third of the population are not native speakers of Lao.

**The replacement methodology allows for 50% non-response rate, allowing for a wide margin of error.**

## 4.4 Sample Frame

### **STEP Standard**

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

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

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

### **Rationale**

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

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

### **Report Requirement**

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



- ii) Explain any steps to ensure that the frame is complete and up-to-date.
- h) Explain any expected deviations from the STEP Technical Standards.

## 1. Sample Frame

The Survey Frame is the 2009 List of Villages from the Lao Bureau of Statistics.

The frame includes the following key variables: Village ID; District ID; Province ID; Village Type (urban, rural with road, rural without road); number of households per village; and population per village (total, male and female). The STEP sample will be stratified by province and village type. The frame does not provide information on the number or size of Village Units, a sub-village administrative area based on geography and number of households.

The first stage sampling unit (PSU) will be the village. In urban areas the number of households per village varies from 24 households to 1126 households. In rural non-remote areas the number of households per village varies from 6 households to 1244 households.

The second stage sampling unit will be the household. Field Supervisors will create the sample frame of households within selected PSUs by coordinating with village head to obtain the most recent list of the households and updating the list with village administrators and unit head if necessary. NOTE: Village administrators update the household listings on an annual basis, normally towards the end of the calendar year. Therefore, recent lists will be available for use by the Field Supervisors.

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

Table 1 shows the distribution of villages and households by province and village type (urban, rural with road, or rural without road).

| Code | Province          | No. of districts | Villages    |             |                 |                | Households       |                |                 |                |
|------|-------------------|------------------|-------------|-------------|-----------------|----------------|------------------|----------------|-----------------|----------------|
|      |                   |                  | Total       | Urban       | Rural with road | Rural w/o road | Total            | Urban          | Rural with road | Rural w/o road |
|      | <b>Lao PDR</b>    | <b>143</b>       | <b>8703</b> | <b>1378</b> | <b>6051</b>     | <b>1274</b>    | <b>1,021,674</b> | <b>315,998</b> | <b>623,453</b>  | <b>82,223</b>  |
| 01   | Vientiane Capital | 9                | 491         | 264         | 223             | 3              | 130,470          | 90,909         | 39,405          | 156            |
| 02   | Phongsaly         | 7                | 542         | 52          | 347             | 143            | 29,461           | 5,294          | 18,282          | 5,885          |
| 03   | Luangnamtha       | 5                | 355         | 37          | 271             | 47             | 28,523           | 6,294          | 19,809          | 2,420          |
| 04   | Oudomxay          | 7                | 472         | 49          | 303             | 120            | 46,299           | 9,389          | 29,203          | 7,707          |
| 05   | Bokeo             | 5                | 291         | 42          | 212             | 37             | 25,968           | 5,625          | 18,525          | 1,818          |
| 06   | Luangprabang      | 12               | 794         | 160         | 413             | 221            | 71,579           | 25,063         | 33,018          | 13,498         |
| 07   | Huaphanh          | 8                | 727         | 28          | 646             | 53             | 45,453           | 6,141          | 37,067          | 2,245          |

|  |             |    |      |     |     |     |         |        |        |        |
|--|-------------|----|------|-----|-----|-----|---------|--------|--------|--------|
| 08   | Xayabury    | 11 | 447  | 97  | 316 | 34  | 67,003  | 20,772 | 43,702 | 2,529  |
| 09   | Xiengkhuang | 8  | 509  | 69  | 394 | 46  | 40,439  | 11,455 | 27,231 | 1,753  |
| 10   | Vientiane   | 13 | 518  | 87  | 408 | 23  | 83,947  | 22,277 | 60,054 | 1,616  |
| 11   | Borikhamxay | 7  | 326  | 56  | 251 | 19  | 42,988  | 13,086 | 28,836 | 1,066  |
| 12   | Khammuane   | 9  | 590  | 114 | 368 | 108 | 61,569  | 18,207 | 36,607 | 6,755  |
| 13   | Savannakhet | 15 | 1006 | 154 | 724 | 128 | 140,086 | 35,184 | 96,382 | 8,520  |
| 14   | Saravane    | 8  | 612  | 32  | 551 | 29  | 59,750  | 4,871  | 53,412 | 1,467  |
| 15   | Sekong      | 4  | 235  | 20  | 138 | 77  | 15,970  | 3,853  | 9,254  | 2,863  |
| 16   | Champasack  | 10 | 639  | 95  | 383 | 161 | 109,263 | 31,569 | 58,376 | 19,318 |
| 17   | Attapeu     | 5  | 150  | 22  | 103 | 25  | 22,906  | 6,009  | 14,290 | 2,607  |
| Source: Surveys Division, Department of Statistics |             |    |      |     |     |     |         |        |        |        |

Rural villages without roads, totaling approximately 8% of the total Lao population, will be excluded from the STEP Survey due to the operational difficulties associated with accessing these remote locations.

#### Frame Issues

The villages on the frame vary considerably in size. Ideally, the segmentation of larger PSUs into a more manageable size and the possible combination of smaller villages would be preferred prior to sample selection. However, this is not possible, as the sample frame only includes village level information. Therefore, PPS Sample & Household Subsample proportional to PSU size will be used for Lao PDR.

## 4.5 Sample size – Partial Assessment

### STEP Standard

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

- *A minimum of 2,000 complete STEP interviews for each STEP reporting language target population are required.*

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

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

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

### Rationale

The STEP minimum sample size requirements must be met to ensure that the estimates

produced from STEP can be generalized to the population from which the sample is selected, and that these estimates have an acceptable level of precision while meeting a minimum response level criterion.

### **Report Requirement**

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

#### **1. STEP Target Sample Sizes**

The goal is to achieve 2,000 complete interviews in urban areas. However, the initial sample of 2000 households and the reserve sample of 2000 households stipulated by STEP Technical Standards will allow for a response as low as 50%.

IRL will follow the revised STEP Technical Standards sample replacement rule (e.g. no replacement will be made if individual module has been started, etc). By using the revised sample replacement rule, it may very well not possible to achieve 2000 complete cases, as a proportion of individual respondents will not be able to be administered Modules 6 and 9 due to language issues. Country-specific survey objectives (i.e. the addition of the rural population and the desire to capture data background data on non-nationals and national non-Lao speakers without bias towards Lao speakers), as well as budget constraints do not allow for any further increase in sample size. However, IRL will make all effort to have complete case as many as possible.

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

- 1) All modules in the Household Questionnaire have been administered; and
- 2) All items in the General Booklet were attempted.

2. Special additions to the STEP sample size.

Additional 800 samples will be obtained in order to be more nationally representative and respond to the interests of the sponsoring agencies, GOL. This is important considering the percentage of population living in rural areas. The additional number is based on the provided budget.


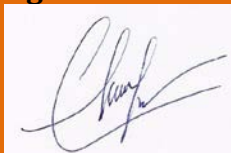
3. Sample Monitoring procedure

IRL standard "Contact Sheet" will be used to record household and individual contact, the contact sheet will consist the following information:

- Contact status: HH/respondent detail, appointment date/time, etc
- Result of contact: Successful, unsuccessful with reason, etc

Interviewers will record the contact sheet each time of contact HH/individual. At the end of each day, the summary of results and issues will be submitted to Supervisor. The Supervisor will monitor contact results, advise or lead in the resolution of issues. The contact result will be submitted to the Project Manager. The Project manager will monitor the progress and advise on how to resolve any problems that occur in order to ensure proper adherence to STEP Technical Standards.

A Summary of contacts (including successful cases, unsuccessful cases with reason, issues and solution, etc.) will be reported to the World Bank on a weekly basic. If any urgent issues/problems are encountered which cannot be resolved by IRL, IRL will report to the World Bank immediately for advice.

|                                |   |
|--------------------------------|---|
| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br> |
| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b><br> |

## 5.0 SAMPLE DESIGN

### **STEP Standard**

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

### **Rationale**

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

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

### **Report Requirement**

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

**Geographic coverage.** The survey will cover **urban and rural** (with road) regions of the country.

**First sampling stage.** The PSUs will be Villages. The sample frame will be the complete list of PSUs generated by **2009** national village-level census. For each PSU, the sample contains an unambiguous identifier (codes for, province, district, village, etc.) and one or more measures of size (number of households and total population).

IRL has obtained an electronic copy of the sample frame, and sent it to the STEP core team at the World Bank, which will select PSUs for the sample. The list contains information needed to recognize each of the selected PSUs in the field.

**Second sampling stage.** The sample frame for the selection of households in each selected PSU will be the updated list of all households in the PSU obtained from village administration office. In the second stage, the number of households selected in each selected PSU will vary proportional to the size of the selected PSUs. The households will be selected from a list of households in each selected PSU by systematic equal probability sampling. At the same time, a reserve sample of the same number of households as the target sample each PSU will be selected for use as needed to ensure that the target sample size is achieved.

The number of households (comprising the initial target sample households and the same size reserve sample of households) will be systematically selected in the field and assigned serial numbers from 01 to the sample size for the PSU based on the order in which they are selected. The STEP Consortium will provide the sample file for the country which will include for each sampled PSU the random subset of households that are to be used as the initial target sample, and the random subset of households that constitutes the reserve sample to be used for replacement of non-response cases. For example:

- i) The STEP Consortium sample file for a country will indicate the household numbers to be used as the survey's **initial target sample** for each PSU. The STEP Consortium sample file for the country will include a different random sequence for each selected PSU.
- ii) The remaining household numbers will constitute the **reserve sample**. The reserve sample will be used in the order shown here. That is, the first household in reserve list will be used for the first instance of non-response, the second household will be used for the second instance of non-response, the third household will be used for the third instance of non-response, the fourth household will be used for the fourth instance of non-response, and so on.
- iii) The reserve sample will only be authorized for use by a fieldwork manager, after the recommended follow-up procedures have been unsuccessful in gaining an interview.

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

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

The Interviewer then refers to the household roster and selects the eligible household member numbered B. **This is the eligible person to be interviewed.**

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

The survey team will be responsible for getting the updated list of all households in the PSU (**village**) from village administration office for the second stage sampling described above. The survey team will work with village administration to verify and update the household list. Based on this full list, the Supervisor will carry out the sampling of the households for each PSU. **This procedure will be conducted in the village.**

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

## 5.1 Sample Allocation and Selection

In each PSU, double the target number of households is to be selected. For example, if the goal is to select 15 households per PSU, then 30 households will be selected: 15 of them are called the *initial sample of households*, and the other 15 are the *reserve sample of households* (to be used in certain cases of non-response).

The selection of the households will be carried out using *systematic sampling*, using the Table printed on the back of the Sample Tracking Form (provided by the STEP Consortium). To select a systematic sample of households, Supervisors will follow the steps described below:

- 1) Compute the **sampling interval** as follows:

$$Interval = \frac{Total\ number\ of\ households\ listed}{Number\ of\ households\ to\ be\ selected}$$

In this survey, the proposed 'Number of households to be selected' is 30. Therefore, the above equation for determining the sampling interval becomes

$$Interval = \frac{Total\ number\ of\ households\ listed}{30}$$

- 2) Define the **random start**, using a random number between 0 and 1. This random number is provided on the Sample Tracking Form.

$$Random\ Start = (random\ number * Interval) + 1$$

- 3) Truncate the Random Start number by dropping the decimal portion of the number, thus leaving only the integer portion of the random start number. On the listing form that was previously completed, find the column titled "*Serial number of eligible households*" that corresponds to the *truncated Random Start Number*, and on the same listing line write "1" in the column titled "*Selected household #*". This procedure identifies the first selected household.
- 4) Identify the second selected household.

Add the *Interval* to the untruncated *Random Start*, and truncate the resulting number by dropping the decimal portion of the random start number to leave only the integer portion. This integer portion identifies the second selected household.

- 5) Identify the next selected household.

Add the *Interval* to the untruncated 'previous resulting number', i.e., the resulting number from the previous step, and truncate the resulting number by dropping the decimal portion of the random start number, thus leaving only the integer portion, to obtain the next selected household.

- 6) Repeat step 4 until the 30 households have been selected.

**Example.** The following example should clarify the above selection procedure: The Random Number for PSU 6786 is 0.99, and the total number of eligible households is 73.

Then the *Interval* and the *Random Start* numbers will be:

$$Interval = \frac{73}{30} = 2.43$$
$$Random\ Start = int(0.99 * 2.43 + 1) = int(3.40) = 3$$

The table below shows the formulas for the selection of the 30 households:



| Selected Household | Formula                    |              | Result | Integer Part |
|--------------------|----------------------------|--------------|--------|--------------|
| 1st                | Random Start               | 3.40         | 3.40   | 3            |
| 2nd                | Previous number + Interval | 3.40 + 2.43  | 5.83   | 5            |
| 3rd                | Previous number + Interval | 5.83 + 2.43  | 8.26   | 8            |
| 4th                | Previous number + Interval | 8.26 + 2.43  | 10.69  | 10           |
| 5th                | Previous number + Interval | 10.69 + 2.43 | 13.12  | 13           |
| 6th                | Previous number + Interval | 13.12 + 2.43 | 15.55  | 15           |
| 7th                | Previous number + Interval | 15.55 + 2.43 | 17.98  | 17           |
| 8th                | Previous number + Interval | 17.98 + 2.43 | 20.41  | 20           |
| 9th                | Previous number + Interval | 20.41 + 2.43 | 22.84  | 22           |
| 10th               | Previous number + Interval | 22.84 + 2.43 | 25.27  | 25           |
| 11th               | Previous number + Interval | 25.87 + 2.43 | 27.70  | 27           |
| 12th               | Previous number + Interval | 27.70 + 2.43 | 30.13  | 30           |
| 13th               | Previous number + Interval | 30.13 + 2.43 | 32.56  | 32           |
| 14th               | Previous number + Interval | 32.56 + 2.43 | 34.99  | 34           |
| 15th               | Previous number + Interval | 34.99 + 2.43 | 37.42  | 37           |
| 16th               | Previous number + Interval | 37.42 + 2.43 | 39.85  | 39           |
| 17th               | Previous number + Interval | 39.85 + 2.43 | 42.28  | 42           |
| 18th               | Previous number + Interval | 42.28 + 2.43 | 44.71  | 44           |
| 19th               | Previous number + Interval | 44.71 + 2.43 | 47.14  | 47           |
| 20th               | Previous number + Interval | 47.14 + 2.43 | 49.57  | 49           |
| 21st               | Previous number + Interval | 49.57 + 2.43 | 52.00  | 52           |
| 22nd               | Previous number + Interval | 52.00 + 2.43 | 54.43  | 54           |
| 23rd               | Previous number + Interval | 54.43 + 2.43 | 56.86  | 56           |
| 24th               | Previous number + Interval | 56.86 + 2.43 | 59.29  | 59           |
| 25th               | Previous number + Interval | 59.29 + 2.43 | 61.72  | 61           |
| 26th               | Previous number + Interval | 61.72 + 2.43 | 64.15  | 64           |
| 27th               | Previous number + Interval | 64.15 + 2.43 | 66.58  | 66           |
| 28th               | Previous number + Interval | 66.58 + 2.43 | 69.01  | 69           |
| 29th               | Previous number + Interval | 69.01 + 2.43 | 71.44  | 71           |
| 30th               | Previous number + Interval | 71.44 + 2.43 | 73.87  | 73           |

Using the selected households from the above procedure, the Supervisor will then identify the 30 households to be selected from the listing form for PSU 6786.

For example, on the first line above, we see that first selected household in this PSU will be the household corresponding to “*Serial number of eligible HHlds*” **3** on the Listing Form. In the same way, the 2<sup>nd</sup> selected household will be the household corresponding to “*Serial number of*

eligible HHlds” 5 on the Listing Form.

Supervisors will mark the selected households on an adapted version of the below form (type of building and information source is not relevant for the Laos context as we will work household listing provided by the village administration):

| LISTING FORM              |  |  |   | PAGE __1/2__             |                                 |                     |
|---------------------------|--|--|---|--------------------------|---------------------------------|---------------------|
| PSU Sample ID <u>6786</u> |  | Interviewer Name <u>Frank Smith</u>                        |   |                          |                                 |                     |
| Date <u>15/1/2012</u>     |  | Interviewer Code <u>12</u>                                 |   |                          |                                 |                     |
| Line #                    | Type of building   | Information source   | Address                                     | Name of household head   | Serial number of eligible HHlds | Household Sample ID |
|                           | Housing unit 1<br>Dwelling is empty/ abandoned / under construction 2<br>Non-housing unit (business, collective living, institution) 3 | Household 1<br>Neighbour 2<br>Own observation 3<br>Other 4 |   |                          |                                 |                     |
| 1                         | 1  | 1  | <i>Bilton Street, by station</i>            | <i>Peter Stipter</i>     | 1                               |                     |
| 2                         | 1  | 1  | <i>Bilton Street, by station</i>            | <i>Wang Xia</i>          | 2                               |                     |
| 3                         | 1  | 1  | <i>Bilton Street, by station</i>            | <i>Emanuela Gomez</i>    | 3                               | 1                   |
| 4                         | 1  | 1  | <i>beside 76 Bilton</i>                     | <i>Rogério Neumann</i>   | 4                               |                     |
| 5                         | 1  | 1  | <i>76 Bilton</i>                            | <i>Joanne Linzey</i>     | 5                               | 2                   |
| 6                         | 2  |  | < ADDRESS >                                 |                          |                                 |                     |
| 7                         | 1  | 3  | <i>72 bilton</i>                            | <i>Charles Stevenson</i> | 6                               |                     |
| 8                         | 1  | 2  | <i>72 bilton</i>                            | <i>Jim Robertson</i>     | 7                               |                     |
| 9                         | 1  | 1  | <i>68 Bilton</i>                            | <i>Alvaro Canales</i>    | 8                               | 3                   |
| 10                        | 1  | 1  | <i>behind 68 Bilton</i>                     | <i>Bill Buckingham</i>   | 9                               |                     |
| 11                        | 3  |  | <i>Store</i>                                |                          |                                 |                     |
| 12                        | 1  | 1  | <i>67 Bilton</i>                            | <i>Jiye He</i>           | 10                              | 4                   |
| 13                        | 1  | 1  | <i>65 Bilton</i>                            | <i>Gilles Dumelier</i>   | 11                              |                     |
| 14                        | 3  |  | <i>school</i>                               |                          |                                 |                     |
| 15                        | 1  | 1  | <i>64 Bilton</i>                            | <i>Xihua Yan</i>         | 12                              |                     |
| 16                        | 1  | 1  | <i>"</i>                                    | <i>Juan Munoz</i>        | 13                              | 5                   |
| 17                        | 1  | 1  | <i>"</i>                                    | <i>Flavia Fernandez</i>  | 14                              |                     |
| 18                        | 1  | 1  | <i>"</i>                                    | <i>Chung He Ji</i>       | 15                              | 6                   |
| 19                        | 1  | 1  | <i>"</i>                                    | <i>Frank Kessler</i>     | 16                              |                     |
| 20                        | 1  | 1  | <i>"</i>                                    | <i>Han Schwartz</i>      | 17                              |                     |
| 21                        | 2  |  | < ADDRESS >                                 |                          |                                 |                     |
| 22                        | 1  | 4  | <i>brick house beside church</i>            |                          | 18                              | 7                   |
| 23                        | 3  |  | <i>church</i>                               |                          |                                 |                     |
| 24                        | 1  | 3  | <i>121 Bilton - apartment #1, 1st floor</i> |                          | 19                              |                     |
| 25                        | 1  | 3  | <i>121 Bilton - apartment #2, 2nd floor</i> |                          | 20                              | 8                   |
| 26                        | 1  | 3  | <i>121 Bilton - apartment #3, 3rd floor</i> |                          | 21                              |                     |

| LISTING FORM           |   |                    |                                      |                        |                                 |                     | PAGE __2/2__ |
|------------------------|---|--------------------|--------------------------------------|------------------------|---------------------------------|---------------------|--------------|
| PSU Sample ID __6786__ |   |                    | Interviewer Name __Frank Smith__     |                        |                                 |                     |              |
| Date __15/1/2012__     |   |                    | Interviewer Code __12__              |                        |                                 |                     |              |
| Line #                 | Type of building  | Information source | Address                              | Name of household head | Serial number of eligible HHids | Household Sample ID |              |
|                        | Housing unit 1  | Household 1        |                                      |                        |                                 |                     |              |
|                        | Dwelling is empty/ abandoned / under construction 2           | Neighbour 2        |                                      |                        |                                 |                     |              |
|                        |   | Own observation 3  |                                      |                        |                                 |                     |              |
|                        | Non-housing unit (business, collective living, institution) 3 | Other 4            |                                      |                        |                                 |                     |              |
| 1                      | 3   |                    | lane beside Gerge Street             |                        |                                 |                     |              |
| 2                      | 1   | 1                  | lane beside Gerge Street             | Bao Wellei             | 22                              | 9                   |              |
| 3                      | 1   | 1                  | lane beside Gerge Street             | Luftar Arapi           | 23                              |                     |              |
| 4                      | 1   | 1                  | lane beside Gerge Street             | Bob Halili             | 24                              |                     |              |
| 5                      | 2   |                    | lane beside Gerge Street             |                        |                                 |                     |              |
| 6                      | 1   | 1                  | lane beside Gerge Street             | Hafiz Domi             | 25                              | 10                  |              |
| 7                      | 1   | 1                  | lane beside Gerge Street             | Zaim Domi              | 26                              |                     |              |
| 8                      | 3   | 3                  | store by Oasis restaurant            |                        |                                 |                     |              |
| 9                      | 3   | 3                  | restaurant Oasis                     |                        |                                 |                     |              |
| 10                     | 3   | 3                  | store- 11 Gerge Street               |                        |                                 |                     |              |
| 11                     | 1   | 1                  | Gerge Street #8, 1st floor           | Flamur Xholi           | 27                              | 11                  |              |
| 12                     | 1   | 2                  | Gerge Street #8, 2nd floor           | Gordon Shehu           | 28                              |                     |              |
| 13                     | 3   | 3                  | Clinic by Gerge St #8, on the corner |                        |                                 |                     |              |
| 14                     | 1   | 1                  | Alley by the clinic, 1st house       | Fatmir Hasa            | 29                              |                     |              |
| 15                     | 1   | 1                  | Alley by the clinic, 2nd house       | Fori Hoxha             | 30                              | 12                  |              |
| 16                     | 1   | 1                  | "                                    | Zhang Hong             | 31                              |                     |              |
| 17                     | 1   | 2                  | "                                    |                        | 32                              | 13                  |              |
| 18                     | 1   | 3                  | Alley by the clinic, 3rd house       |                        | 33                              |                     |              |
| 19                     | 1   | 1                  | Alley by the clinic, 4th house       | Dimitri Bulgulkov      | 34                              |                     |              |
| 20                     | 1   | 1                  | Alley by the clinic, 5th house       | Igor Bysenko           | 35                              | 14                  |              |
| 21                     | 1   | 1                  | Alley by the clinic, 6th house       | Julie Everett          | 36                              |                     |              |
| 22                     |   |                    |                                      |                        |                                 |                     |              |
| 23                     |   |                    |                                      |                        |                                 |                     |              |
| 24                     |   |                    |                                      |                        |                                 |                     |              |
| 25                     |   |                    |                                      |                        |                                 |                     |              |
| 26                     |   |                    |                                      |                        |                                 |                     |              |

| LISTING FORM              |   |                    |  |                        |                                 |                     | PAGE __1/2__ |
|---------------------------|---|--------------------|--|------------------------|---------------------------------|---------------------|--------------|
| PSU Sample ID __6786__    |   |                    | Interviewer Name __Arielle Ford__                |                        |                                 |                     |              |
| Date __January 15, 2012__ |   |                    | Interviewer Code __9__                           |                        |                                 |                     |              |
| Line #                    | Type of building  | Information source | Address  | Name of household head | Serial number of eligible HHids | Household Sample ID |              |
|                           | Housing unit 1  | Household 1        |  |                        |                                 |                     |              |
|                           | Dwelling is empty/ abandoned / under construction 2           | Neighbour 2        |  |                        |                                 |                     |              |
|                           |   | Own observation 3  |  |                        |                                 |                     |              |
|                           | Non-housing unit (business, collective living, institution) 3 | Other 4            |  |                        |                                 |                     |              |
| 1                         | 1   | 1                  | 4th dwelling right of doctor's house             | Skender Puoi           | 37                              | 15                  |              |
| 2                         | 1   | 1                  | 3rd dwelling right of doctor's house             | Zhao Hua               | 38                              |                     |              |
| 3                         | 1   | 1                  | 2nd dwelling right of doctor's house             | Simon Qu               | 39                              | 16                  |              |
| 4                         | 1   | 1                  | 1st dwelling right of doctor's house             | Gerrie Masters         | 40                              |                     |              |
| 5                         | 1   | 2                  | "  | Gordon Robertson       | 41                              |                     |              |
| 6                         | 1   | 2                  | doctor's house                                   | Ian Gass               | 42                              | 17                  |              |
| 7                         | 1   | 2                  | 1st dwelling left of doctor's house              | Murat Puoi             | 43                              |                     |              |
| 8                         | 1   | 1                  | 2nd dwelling left of doctor's house              | Yao Sheng              | 44                              | 18                  |              |
| 9                         | 1   | 1                  | "  | Ismet Hodo             | 45                              |                     |              |
| 10                        | 1   | 1                  | 1st dwelling right of clinic                     | Mikhael Bystrenko      | 46                              |                     |              |
| 11                        | 3   |                    | clinic   |                        |                                 |                     |              |
| 12                        | 1   | 1                  | 1st dwelling to the left of clinic               | Fadil Misini           | 47                              | 19                  |              |
| 13                        | 1   | 1                  | 2nd dwelling to the left of clinic               | Zef Delli              | 48                              |                     |              |
| 14                        | 2   |                    | empty, on the corner                             |                        | 49                              | 20                  |              |
| 15                        | 1   | 1                  | 1st dwelling after corner, big tree in courtyard | Isen Jakola            | 50                              |                     |              |
| 16                        | 1   | 1                  | dwelling opposite the above                      | Zenel Smith            | 51                              |                     |              |
| 17                        | 1   | 1                  | "  | Kujtim Ulndreu         | 52                              | 21                  |              |
| 18                        | 1   | 2                  | "  | Ismet Flora            | 53                              |                     |              |
| 19                        | 1   | 3                  | 2nd dwelling after corner, next to 1st           |                        | 54                              | 22                  |              |
| 20                        | 1   | 3                  | 3rd dwelling after corner, next to 2nd           |                        | 55                              |                     |              |
| 21                        | 2   |                    | under construction, next to 3rd                  |                        |                                 |                     |              |
| 22                        | 1   | 1                  | dwelling next to Zenel Smith, before well        | Halil Doku             | 56                              | 23                  |              |
| 23                        | 1   | 1                  | dwelling next to above                           | Arlin Ahmeti           | 57                              |                     |              |
| 24                        | 1   | 1                  | 1st dwelling after well, same side as above      | Ramiz Alpaka           | 58                              |                     |              |
| 25                        | 1   | 1                  | dwelling behind previous                         | Mary Gjini             | 59                              | 24                  |              |
| 26                        | 1   | 1                  | dwelling opposite Ramiz Alpaka                   | Halil Lala             | 60                              |                     |              |

| LISTING FORM                 |   |  |  |                        |                                | PAGE __2/2__        |  |
|------------------------------|---|--|--|------------------------|--------------------------------|---------------------|--|
| PSU Sample ID <u>6786</u>    |   | Interviewer Name <u>Arielle Ford</u>                                   |  |                        |                                |                     |  |
| Date <u>January 15, 2012</u> |   | Interviewer Code <u>9</u>  |  |                        |                                |                     |  |
| Line #                       | Type of building  | Information source   | Address                                  | Name of household head | Serial number of eligible HHds | Household Sample ID |  |
|                              | 1<br>Housing unit<br>Dwelling is empty/ abandoned / under construction<br>Non-housing unit (business, collective living, institution) | 1<br>Household<br>2<br>Neighbour<br>3<br>Own observation<br>4<br>Other |  |                        |                                |                     |  |
| 1                            | 1   | 1  | **                                       | Festim Mani            | 61                             | 25                  |  |
| 2                            | 1   | 1  | 1st dwelling right of phone booth        | Habib Xhika            | 62                             |                     |  |
| 3                            | 3   | 3  | phone kiosk                              |                        |                                |                     |  |
| 4                            | 1   | 1  | 1st dwelling left of phone booth         | Bill Clinton           | 63                             |                     |  |
| 5                            | 1   | 1  | 1st dwelling right of bar                | Joe Plumber            | 64                             | 26                  |  |
| 6                            | 3   | 3  | bar Full Moon                            |                        |                                |                     |  |
| 7                            | 1   | 1  | 1st dwelling left of bar, 1st floor      | Paolo Mena             | 65                             |                     |  |
| 8                            | 1   | 1  | 1st dwelling left of bar, 2nd floor      | Hasif Kaleshi          | 66                             | 27                  |  |
| 9                            | 1   | 1  | 1st dwelling left of bar, 3rd floor      | Besnik Murati          | 67                             |                     |  |
| 10                           | 1   | 1  | 2nd dwelling left of bar Full Moon       | Islam Ndreu            | 68                             |                     |  |
| 11                           | 1   | 1  | 1st dwelling right of big banyan tree    | Bujar Fetahu           | 69                             | 28                  |  |
| 12                           | 1   | 3  | 1st dwelling left of biggest banyan tree |                        | 70                             |                     |  |
| 13                           | 1   | 3  | 2nd dwelling left of biggest banyan tree |                        | 71                             | 29                  |  |
| 14                           | 1   | 1  | 3rd dwelling left of biggest banyan tree | Haile Miriam           | 72                             |                     |  |
| 15                           | 1   | 1  | **                                       | Tadesse Birru          | 73                             | 30                  |  |
| 16                           |   |  |  |                        |                                |                     |  |
| 17                           |   |  |  |                        |                                |                     |  |
| 18                           |   |  |  |                        |                                |                     |  |
| 19                           |   |  |  |                        |                                |                     |  |
| 20                           |   |  |  |                        |                                |                     |  |
| 21                           |   |  |  |                        |                                |                     |  |
| 22                           |   |  |  |                        |                                |                     |  |
| 23                           |   |  |  |                        |                                |                     |  |
| 24                           |   |  |  |                        |                                |                     |  |
| 25                           |   |  |  |                        |                                |                     |  |
| 26                           |   |  |  |                        |                                |                     |  |

Sometimes a dwelling accommodates more than one household. This may be realized at the listing stage, in which case each household is listed on a separate line on the listing form. Otherwise, an interviewer will realize there is more than one household in the dwelling when the household roster is being completed.

Often, if there is some discussion in a household about who is the head, it may indicate that there is more than one household. If this takes place, then the interviewer will ask whether there is more than one household living together. Any person who keeps his/her finances separate will be treated as a separate household.

If there is more than one household in a dwelling, the interviewer will use the “*Form for Selecting one Household from a Multi-Household Dwelling*” (provided by the STEP Consortium) to randomly select only one of the households for interview. In order to do so, the interviewer will:

1. Determine the heads of households for each household in the respective dwelling;
2. Ask for the year of birth for the household heads, and list the household heads in order - from the eldest to the youngest household head. That is, the eldest household head is assigned the number 1 under the column labeled “*Serial Number*”; the next eldest household head is assigned the number 2; and so on. If there are two or more household heads born in the same year, the interviewer will use the month and eventually the day of birth to determine the eldest;
3. Using the random number chart on the front of the questionnaire, the interviewer will

find the first random number that is less than or equal to the number of household heads. Then the interviewer will refer to the list of household heads and find the household head number corresponding to this random number. The household corresponding to this household head will be selected for interview.

**Example.** Consider the case of a selected household/dwelling where an interviewer finds that there are two brothers and their families, and the families of the two brothers keep their finances separate. So even though they sleep under the same roof they do not “eat out of the same pot.” One brother, George, was born in 1974 and the other, Sam, was born in 1980.

The interviewer will list the two household heads as follows (the first two lines of the form below, corresponding to HH Sample ID 4):

| FORM FOR THE SELECTION OF ONE HOUSEHOLD IN A MULTI-HOUSEHOLD DWELLING |                     |                 |               |                     |                          |       |     |                    |
|---|---------------------|-----------------|---------------|---------------------|--------------------------|-------|-----|--------------------|
| Interviewer's Name  |                     | Abraham Dyen    |               |                     |                          |       |     |                    |
| Interviewer's Code  |                     | 2               |               |                     |                          |       |     |                    |
| PSU Sample ID   | Household Sample ID | Date (DD/MM/YY) | Serial Number | Name of the HH head | Date of birth of HH head |       |     | Selected household |
|   |                     |                 |               |                     | Year                     | Month | Day |                    |
| 023   | 4                   | 23/02/12        | 1             | George              | 1974                     |       |     |                    |
|   |                     |                 | 2             | Sam                 | 1980                     |       |     | 2                  |
| 044   | 16                  | 12/03/12        | 1             | Ana                 | 1954                     |       |     | 1                  |
|   |                     |                 | 2             | Hafiz               | 1960                     | 2     |     |                    |
|   |                     |                 | 3             | Bono                | 1960                     | 5     |     |                    |
| 134   | 13                  | 05/05/12        | 1             | Anita               | 1928                     |       |     | 1                  |
|   |                     |                 | 2             | Amin                | 1956                     |       |     |                    |
|   |                     |                 | 3             | John                | 1972                     |       |     |                    |
|   |                     |                 |               |                     |                          |       |     |                    |
|   |                     |                 |               |                     |                          |       |     |                    |


The interviewer will then refer to the random number table on the front of the questionnaire. For this example, suppose the random number table is the following:

|    |   |    |   |    |
|----|---|----|---|----|
| 15 | 6 | 4  | 2 | 10 |
| 14 | 9 | 8  | 5 | 12 |
| 13 | 1 | 11 | 3 | 7  |

From the list of household heads, there are 2 households. Reading the random number table beginning at the first line and reading from left to right, the first number that is less than or equal to 2 is the 2 found in the 4<sup>th</sup> position on the first line of the table. Therefore, the second household in the dwelling, i.e., Sam's household, will be selecting to be interviewed.

The Supervisor will verify that the interviewer correctly determined the number of households, and correctly selected the household to be interviewed.

|                         |            |
|-------------------------|------------|
| I agree with the above, |            |
| XIMENA DEL CARPIO       | Signature: |

|                            |   |
|----------------------------|---|
|                            | <i>Ximena Del Carpio</i>  |
| <b>CHANSADA SOUVANLASY</b> | <b>Signature:</b><br> |

## 6.0 LITERACY ASSESSMENT

### **STEP Standard**

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

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

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

### **Rationale**

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

### **Report Requirement**

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

Laos will implement a partial literacy assessment in [Lao language](#).

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

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

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

Each interviewer will use a stop watch to time the Reading Components exercises in the General Booklet. The time taken per exercise will be entered into the Household Questionnaire Module 9.

## 6.1 Translation and Adaptation of Literacy Materials

### **STEP Standard**

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

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

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

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

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

### **Rationale**

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

### **Report Requirement**

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

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

The literacy exercises are provided to the Survey firm/agency directly in a Word document. These should be translated respecting the text size and formatting. The recommended method of translation is the following: independent translation of all text by two translators who have no contact with each other, and one reconciler will reconcile



the two translations, keeping the best parts from each of them. The reconciler will be responsible for creating a single form of the Verification Follow-up Form (VFF) that includes comments from either or both translators as well as his or her own comments. The final VFF form together with the translated materials will be then submitted to the World Bank, who will then send the materials to ETS, the organization that is providing the literacy exercises for the STEP program. The materials will then be sent for independent verification with feedback provided to countries about the translated versions of their materials.

IRL has followed STEP Technical Standards for the translation and adaptation of the General Booklet, namely: independent translation of all text by two translators, who have no contact with each other, followed by reconciliation of the two translations by a third translator. This reconciliation by the third translator was done in collaboration with a World Bank consultant working with the country team and included the completion of the relevant sections of the VFF. The translation/adapted General Booklet was submitted to ETS for verification and approval, along with the translated/adapted Response Capture and Scoring Guidelines and their respective VFFs. After approval, the World Bank consultant and IRL Director reviewed the General Booklet to ensure proper formatting, with suggested revisions provided to ETS. The final version was sent to ETS in order to produce the print ready version. The print ready version is now available for printing.

## 6.2 Printing of Literacy Assessment

### **STEP Standard**

*Each country will ensure that the approved assessment booklets from ETS are printed according to the printing instructions provided in the document 'STEP\_Paper\_Booklet\_Printing\_Specifications.doc'.*

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

### **Rationale**


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

### **Report Requirement**

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

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

The General Booklets will be printed using offset printing (NOT photocopying) on size A3, 100 gms paper and saddle-stitched so that each page of the final printed booklets is a size A4 page. The printing method and specifications exceed STEP Technical Standards. Prior to printing of all booklets, a sample booklet will be checked by IRL and the World Bank country team to ensure quality.

|                                |   |
|--------------------------------|---|
| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br><i>Ximena Del Carpio</i>   |
| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b><br> |

## 7.0 HOUSEHOLD QUESTIONNAIRE

### **STEP Standard**

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

### **Country-specific Questions**

*1. Each country is permitted to insert up to 5 country-specific questions in the Household Questionnaire. The questions and their placement must be confirmed with the STEP Consortium.*

- a) The rationale for the inclusion of country-specific questions must be provided.*
- b) The wording of the proposed questions must be included in the NSDPR.*
- c) The placement of the questions must be discussed with the STEP Consortium.*
- d) An outline of the pre-test strategy for the questions must be included in the NSDPR.*

### **Rationale**

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

### **Report Requirement**

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

Based on the reality on the ground, the team proposes to make the following additions. In the education module we will add questions related to TVET education and TVET education provider. In the Labor Force participation we will ask people about their willingness to move to a different locality to work. Lastly, we will ask a bit about their work histories to capture trajectories and migration patterns. All of these questions are necessary to understand labor movement within the country (geographically) and across sectors.

### **Module 2. Education**

|   |    |
|---|----|
| (6a) What motivated you to choose university education instead of enrolling into TVET or vocational training? |    |
| Expectations of higher pay and perceived higher availability of jobs  | 01 |
| Family, external, and social pressures  | 02 |

|   |    |  |
|---|----|--|
| Employers' greater demand for university graduates  | 03 |  |
| OTHER (SPECIFY_____)  | 04 |  |
| (7a) Why did you choose vocational training or TVET?  |    |  |
| Could not get into university   | 0  |  |
| Could not afford going to university  | 1  |  |
| Provides good job/salary opportunities  | 0  |  |
| No other option available in the next level of education that was geographically close                        | 2  |  |
| It provided a faster option to get join the workforce and getting a job                                       | 0  |  |
| OTHER (SPECIFY_____)  | 3  |  |
| (7b) After or during vocational training/TVET do you intend to pursue or are you pursuing a bachelors degree? | 0  |  |
| YES 1 >>12  | 4  |  |
| NO 2  | 0  |  |
| (15.a) How long was your training (in months)?  | 5  |  |
| (15b) What type of provider did you rely on and who paid for your course?                                     | 0  |  |
| Public institution and self financed  | 1  |  |
| Public institution and financed by government   | 2  |  |
| Private institution and self financed   | 3  |  |
| On-the-job training and financed by employer  | 4  |  |
| OTHER (SPECIFY_____)  | 5  |  |
| (15c) How did you enter the course?   |    |  |
| Quota student   | 1  |  |
| Non-quota student   | 2  |  |
| Fee paying  | 3  |  |

| Module 4 Part A. Labor Force Participation |   |   |
|--|---|---|
| (14a)                                      | Have you ever looked for a job (or would you accept a job) that would require you to move |   |
|  | YE 1 >>14b  |   |
|  | S   |   |
|  | N 2 >>14c   |   |
|  | O   |   |
| (14b)                                      | If YES, ask where   |   |
|  | Within the province   | 1 |

|       |   |   |  |
|-------|---|---|--|
| (14c) | Within the country  | 2 |  |
|       | Outside the country   | 3 |  |
|       | If NO, why have you never looked for work that would require you to move? |   |  |
|       | Family reasons  | 1 |  |
|       | Too costly  | 2 |  |
|       | Administrative barriers   | 3 |  |
|       | Cultural / Language barriers  | 4 |  |

We also propose to add a short new module to capture the work history of individuals.

| <b>MODULE 4:</b>  |   | <b>PAGE 26</b>     |                               |                           |                         |                 |                           |
|---|---|--------------------|-------------------------------|---------------------------|-------------------------|-----------------|---------------------------|
| <b>EMPLOYMENT</b>   |   |                    |                               |                           |                         |                 |                           |
| <b>Part D: WORK HISTORY</b>   |   |                    |                               |                           |                         |                 |                           |
| <b>This module asks about the work history of the interviewee</b>   |   |                    |                               |                           |                         |                 |                           |
| Main Jobs   | 1. Beginning date (Year)  | 2. End date (Year) | 3. Main economic Activity (1) | 4. Type of Employment (2) | 5. Type of contract (3) | 6. Location (4) | 7. Reason for leaving (5) |
| 101   |   |                    |                               |                           |                         |                 |                           |
| 102   |   |                    |                               |                           |                         |                 |                           |
| 103   |   |                    |                               |                           |                         |                 |                           |
| 104   |   |                    |                               |                           |                         |                 |                           |
| 1. Use answers and codes as in Module 4BQ (1)<br>2. Use answers and codes as in Module 4C Q(5)<br>3. Use answers and codes as in Module 4CQ(6)<br>4. Province (Lao) or Country<br>5. Fired, quit, got better job, fell pregnant, went back to farm, other |   |                    |                               |                           |                         |                 |                           |
| (2)   | Since you started working, how many times did you change employers? |                    |                               |                           |                         |                 |                           |
|   | Number or times   |                    |                               |                           |                         |                 | <input type="text"/>      |
| (3)   | Did you have any interruption in your working life?                 |                    |                               |                           |                         |                 |                           |
|   | YES 1 >>3a and  |                    |                               |                           |                         |                 |                           |

|      |   |                              |                          |
|------|---|------------------------------|--------------------------|
|      |   | <b>3b</b>                    |                          |
|      | NO  | 2 >>4                        | <input type="checkbox"/> |
| (3a) | If yes to (3), ask:<br>For how long (months)                              |                              | <input type="checkbox"/> |
| (3b) | If yes to (3), ask:<br>What was the reason                                |                              | <input type="checkbox"/> |
|      |   | Use codes of module 4A Q(19) |                          |
| (4)  | During your professional life, have you moved across provinces for a job? |                              |                          |
|      | YES   | 1                            |                          |
|      | NO  | 2                            | <input type="checkbox"/> |
| (5)  | During your professional life, have you gone abroad for work? YES / NO    |                              |                          |
|      | YES   | 1 >>5a                       |                          |
|      | NO  | 2                            | <input type="checkbox"/> |
| (5a) | If YES, to which country?   |                              | <input type="checkbox"/> |

## 2. Description of the pretest strategy

### A qualitative pre-test

IRL conducted a qualitative survey of a set of 30-40 key questions taken from the household and individual questionnaire that the World Bank has developed. The qualitative survey took the form of open (in-depth) interviews. Eight interviews (general population aged 15-64) were conducted by IRL senior staff. IRL provided feedback on the results of the pre-test to both the core and country teams. Due to budget and timing issues, at the request of the World Bank, IRL did not conduct a full qualitative pretest as per guidelines.

### Informal pilot survey (including proposed country-specific questions)

A preliminarily pre-test, comprising 5 interviews with purposively selected sample from the target population aged 15-64 (3 completed interviews and 2 partial), was conducted by IRL senior staff and observed by the TTL and members of the World Bank country team. After the pilot, IRL senior staff and the World Bank country team discussed the results of the pilot. The resulting revisions were mainly related to the Lao version of questionnaire. It also served to provide feedback that has contributed to the development of the household questionnaire

### Formal pilot survey

The formal pilot survey was conducted by the Fieldwork Manager, Fieldwork Supervisor, Field Supervisors and Quality Control staff, with participation of the World Bank

consultant to the country team.

- Three days of supervisors training was conducted: 0.5 day for operations procedure (by Project Manager); 2 days for the household questionnaire (by IRL Fieldwork Manager) and 0.5 day (by WB consultant).
- Two-day pilot survey with full operational procedures was conducted after supervisor training
- The pilot survey was conducted in 2 villages: 1 urban village and 1 peri-urban village.
- Participants of the pilot survey: 1 WB Consultant, 1 Fieldwork Manager, 2 Head of supervisors, 10 supervisors and 1 quality control staff
- Total of 30 household interviews were conducted, with 18 households in an urban village and 12 households in a peri-urban village.

The pilot report with details of the pilot survey, feedback, comments and recommendation will be submitted to the World Bank.

An additional pilot will be conducted as part of the Interviewer training program. The purpose of pilot will be to ensure that interviewers will be familiar with the questionnaire as much as possible prior to starting of actual fieldwork.

### 3. Translation of the Household Questionnaire

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

### 4. Printing of the Household Questionnaire:

The household questionnaire will be sent out to the supplier for printing after the final approved English version is available and any necessary revisions made to the Lao version including those made during interviewer training.

**I agree with the above,**

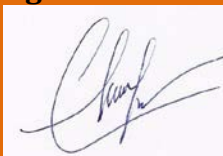
**XIMENA DEL CARPIO**

**Signature:**

*Ximena Del Carpio*

**CHANSDA SOUVANLASY**

**Signature:**



## 8.0 DATA COLLECTION

### **STEP Standard**

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

*Key elements of the data collection strategy are the following:*

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



*date.*

### **Rationale**

The collection of data from respondents should be as consistent as possible so that potential bias may be minimized. There is a need to ensure that the interviewers have the necessary material for selecting a respondent within a household and the survey instruments are administered uniformly by all countries.

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

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

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

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

### **Report Requirement**

1. Survey promotion strategy

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

## **8.1 Survey Promotion Strategy**

### **8.1.1 Public 'Awareness' Campaign**

There will be no public awareness campaign conducted due to budget constraints.

### **8.1.2 Advance Survey Information**

#### **Survey Authorization Letter**

The Ministry of Education and Sports, as primary counterpart of the Work Bank, will provide an authorization letter, following regulations set forth in the Statistics Law, 2011). The letter will be sent to provincial and district education offices, who will inform local authorities. The survey team will have a copy of the authorization letter, which will be presented to the Village Administrators in the selected villages and selected households for their cooperation. The letter will contain information on the objectives and importance of the survey.

### **8.2 Contact Strategy**

The Field Supervisor will consult with the Village Administrators to organize the schedule of household visits, as they are often aware of when individual households are likely to be home.

All selected households will be contacted by a personal visit from a IRL Interviewer. The official letter will be shown to respondents.

At least three contact attempts will be made before coding the case as a non-contact. Contact attempts subsequent to the first attempt will be scheduled according to the information received during the first contact attempt, or at different times of the day and different days of the week.

#### **Training of Interviewers**

Each interviewer will be trained to discuss the merits of the STEP household survey. All interviewers will attend an in-person training session of 10 days, where time can be spent developing these necessary skills. The training will be adapted from the materials provided by the STEP Consortium and will focus on practical activities, including daily assessments and participation in field practice through the pilot.

#### **Interviewer Identification**

The interviewer will have and display an ID badge and a copy of the authorized letter to show the respondent every time of contacting. .

### **8.3 Response Rate Strategy to Minimize Non-response**

In an effort to obtain a response rate of 70%, non-response strategies will include:

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

participate in the survey.

## **2) Interviewer Supervision:**

IRL will ensure there is a rigorous supervision process and mechanisms (including spot-checks) is in place to confirm appropriate implementation of the survey, correct implementation of tests and adherence to established interview protocols. In particular, The supervisor will conduct a revisit to 15 % of the households (randomly chosen within each interview team's households).

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

## **3) Follow-up:**

If the interviewer is unable to gain the cooperation of a selected individual, the case will be referred to the Field Supervisor, who will take steps to convert such cases to completed interviews, including:

- Supervisor to convince the respondent
- Show official letter and village authorization letter
- Normally, incentive of set of personal care products (about US\$3 in value) will be given to respondent after interview is completed. If necessary, the interviewer can determine to give incentive to respondent in advance prior to interview start.
- Ask community leader to help

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

- 1) A household refuses or does not begin the interview because of special circumstances (result codes 1 or 2).
- 2) A household stops before finishing the Household Module, Module 1.
- 3) A household where the selected individual is not able to begin the questionnaire – for refusal, for special circumstance, absence or other reasons.
- 4) A household where the individual stops without finishing the individual modules 2-7.
- 5) A household where the individual stops without finishing the assessment exercises, Module 9.

## **8.4 Interviewer Hiring Plan**

The Supervisors will recruit interviewers, supervised by an Operations Manager. To fit with available qualified supervision, quality control and management resources, 30 interviewers will be hired to form 10 survey teams. IRL will attempt to hire interviewers from a diversity of backgrounds to ensure a well-rounded team. However, due to the limited number of qualified candidates in many provinces, interviewers will be hired from four main regional centers: Vientiane Capital, Luang Prabang, Savannakhet and Champasack provinces.

Supervisors will begin interviewer recruitment by drawing from a pool of known experienced interviewers. They will use the IRL personnel database, which can quickly produce lists of available field personnel who meet the STEP Technical Standards. The Supervisors will give preference to experienced interviewers who have received high levels on evaluations from previous projects and those who live in (or are originally

from) the areas in which the target PSUs are located.

Other sources of candidates will include applications from individuals with and without interviewing experience. When considering applicants for an interviewing position, supervisors will assess the applicants' basic skills and personality traits. Desirable personality traits include receptivity to others' ideas, open-mindedness, and motivation.

All candidates will be interviewed for availability, level of interest in the project, related job experience, and general ability to communicate personably and effectively. Those who meet the basic qualifications of availability and interest and who have generally good communication skills will be interviewed in depth by supervisors, who will then select the best candidates for interviewers for the STEP.

#### **8.4.1 Number of Interviewers**

30 Interviewers who will be supervised by 10 Field Supervisors.

#### **8.4.2 Method of Payment**

Our corporate standard is to pay Interviewers based on the number of interviews completed. Within the Lao cultural context, interview-based payment serves as an effective incentive to make interviewer more careful in interviewing and completing the questionnaire as well as working within the timeline. Our experience of using hour/day based payment have been as follow:

- Efficiency: Interviewers work with decreased efficiently and do not follow the provided timeline, resulting in unnecessary delays
- Quality: Increased percentage of incomplete, improperly completed questionnaires due to Interviewer error leading to increased time spent by Supervisors revisiting households to gather missing data.

We have developed a rigorous quality assurance system from the field to the central level to ensure that Interviewers conduct their work according to standards. In addition, Interviewers will be limited to two interviews per day.

Interviewers will be also compensated for all travel costs, standard per diem rates and accommodation that are necessary to carry out an assignment. This time-based incentive is a strong incentive to take the time necessary to achieve a high rate of accurately completed questionnaires.

#### **8.4.3 Interviewer Training Plan**

Prior to data collection, IRL will carry out a rigorous training of its interviewers and field supervisors during which the World Bank team is expected to provide technical support. The training will last a minimum of **10** full days, including field practice during which each trainee will interview at least two households and two selected individuals.

The World Bank will provide a training plan for the training sessions. Any deviations from the training plan will be documented. IRL will train 33% more persons than the interviewers required to field the instruments (that is 4 people for each 3 positions) from which the firm will select the best performing candidates after testing.

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

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

**Data entry training:** Data Entry (DE) personnel will participate in interviewer training to ensure they have a thorough knowledge of the questionnaire. There will be a 3-day training for DE personnel on the DE program at the end of the interviewer training.

**Scorer training:** Scorers for the General Booklet will be trained toward the end of the field work, by the Chief Scorer. This training should last 3 days.

## **8.5 Interviewer Supervision Procedures**

Three Interviewers will be supervised by one field supervisor. They will be allocated to work in the same PSU each day in order to allow the field supervisor to monitor their work and provide real-time support if any issues are encountered. Interviewer will be required to double check each completed questionnaire before leaving the household to ensure completeness. Cross-checks between interviewers will be done before leaving the village. Interviewer is required to submit completed questionnaire to supervisor immediately after completion.

Field Supervisors will carry out a verification of each interviewer's visits by a revisit to 15% of the households in each interviewer assignment. The revisit will include a verification of the sample selection procedures used by the Interviewer to select an individual to interview. The households involved in the verification process will be randomly selected within each PSU. The supervisor will use standard forms provided by the STEP Consortium.

## **8.6 Number of Supervisors**

Ten in-house supervisors will be allocated to this project. As we have sufficient number of in-house experienced supervisors, additional hiring is not needed.

### **8.6.1 Supervisor Responsibilities**

The Field Supervisors will be responsible for the management of all data collection activities in their assigned PSUs. As such, s/he will carry out a wide variety of duties.


1. Oversee travel and logistics

2. Initiate and foster contacts with local officials
3. Obtain and verify village household listing
4. Carry out the selection of the households (second stage of the sampling design) in their respective PSUs, as recommended in the Technical Standards for the Design and Implementation of the STEP survey. They will submit the listings of households and the corresponding sample selection to the Project Manager. Manage assignment of Interviewers
5. Carry out a verification of each interviewer's visits by a revisit to 15% of the households in each interviewer in each interviewer assignment. The households involved in the verification process will be randomly selected within each PSU.
6. Conduct follow-up visits with households refusing the interview, in order to try and convince these households to participate in the interview. If successful, an interviewer will be dispatched to interview that household.

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

### 8.7 Progress Reporting

Each week during the survey period, the Project Manager will submit to the World Bank (core and country team) data file containing all the entered survey to date.

|                                |   |
|--------------------------------|---|
| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br><i>Ximena Del Carpio</i>   |
| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b><br> |

## **9.0 DATA PROCESSING**

### **9.1 Instrument Requirements to Facilitate Data Processing**

#### **STEP Standard**

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

#### **Rationale**

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

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

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

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

#### **Report Requirement**

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

#### **1. Case Identification**

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



2. Assessment Booklet Identification

IRL will assign a sequential booklet ID on each printed assessment booklet, starting from 1001 to ensure proper tracking of all booklets.

3. Case Final Status Code

The interviewer will record the final completion status of household questionnaire and general booklet each case in his/her assignment. The accuracy of the recorded status code will be verified by the field supervisor

**I agree with the above,**

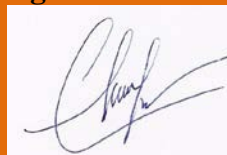
**<INSERT TTL NAME>**

**Signature:**

*Limena Del Carpio*

**CHANSADA SOUVANLASY**

**Signature:**



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

### **STEP Standard**

#### **1) Data Capture**

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

#### **2) Coding**

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

### **3) Scoring**

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

### **4) Data Editing**

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

### **5) Data File Creation**

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

### **Rationale**

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

### **Report Requirement**

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

### **9.2.1 Data Capture**

The responses from the Household Questionnaire and the Assessment Scoring Sheets will be manually keyed.

The data capture of the household questionnaire will be carried out using the Data Entry Program (DEP) designed by IRL in CSpro format.

The data capture of the Assessment Scoring Sheets will be carried out using the Data Entry Program (DEP) designed by ETS.

The Household Questionnaire and Assessment Scoring Sheets will be double captured using CSpro.

The responses from the Household Questionnaire and the Literacy Assessment Scoring Sheets will be 100% verified: there will be double data entry of these instruments by different key entry operators following STEP Technical Standards.

For each selected PSU, data entry will be carried out no later than five days after the finalization of the PSU cases.

IRL will key-enter the 'write-in' entries from the response category "Other". Coding of the 'write-in' responses and the code set will be provided to the STEP Consortium. These coded responses will be included in final dataset.

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

Twenty dummy completed questionnaires will be entered to the system to test the system. Errors/mistakes will be reported to World Bank to correct/fix the system.

### **9.2.3 Data Capture Verification**

Double data entry will be conducted to verify the data entry. Two entered datasets will be compared by computer programming. If mismatch variables are found, the data entry supervisor will go back to the questionnaire, then corrections will be made.

Logic and consistency checks will be done with all variables. If potential errors are found, checking with original questionnaire will be done. If necessary, the team will contact respondent again to verify.

### **9.2.4 Coding**

The Household Questionnaire data and assessment data will be coded as specified by the STEP Consortium.

The coding of all education variables will be done using the country-specific classification of education. IRL will be responsible for providing the mapping of its classification to ISCED 1997 codes. Based on that mapping, the STEP Consortium will be responsible for constructing the internationally comparable education variable.

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

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

The verification of the coding of Household Questionnaire data and assessment data will be performed according to the specifications of the STEP Technical Standards.

Data that has been manually coded will be 100% verified by another coder. The average error rate for manually coded data will not exceed 6%.

#### **9.2.5 Scoring Task Booklets**

A Chief Scorer who is fluent in English and Lao language and one other scorer who is fluent in English and Lao language will be hired for scoring.

The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium (e.g. double scoring).

The quality control procedures provided by the STEP Consortium will be followed for the scoring of the literacy assessment booklets.

##### **9.2.5.1 Recruiting and Training Scorers**

2 Scorers fluent in English and Lao will be hired, using the IRL consultant database from which to draw candidates. The remaining 3 scorers will be in-house supervisors. Scorers for the General Booklets will be trained toward the end of the field work, by the Project Manager with support from the World Bank country team. This training will last 1 day.

##### **9.2.5.2 Ensuring Inter-rater Agreement**

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

##### **9.2.5.3 Documenting the Scoring Process**

All scoring process including issue and solution will be documented.

#### **9.2.6 Creation of International Data File**

The ultimate output of data processing operation will be a clean data file that conforms to the International Record Layout (IRL). This data file will be provided to the STEP Consortium by IRL.

IRL will perform an edit of data file in order to identify and resolve errors in the data. IRL will ensure that the final data file submitted to the STEP Consortium is error-free.

### **9.2.7 Data Editing System**

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

#### **9.2.7.1 Editing Household Questionnaire Data**

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

1) ID check

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

2) Range checks

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

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

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

4) Consistency checks

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

5) Outlier check

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

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

### 9.2.7.2 Editing Assessment Data

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

#### 1) ID check


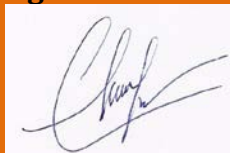
The editing of the assessment instrument will consist of confirming that the correct booklet was administered to each respondent and to confirm that the completed assessment booklet was received and labeled with the appropriate case information.

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

#### 2) Range checks

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

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

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| <b>I agree with the above,</b> |   |
| <b>XIMENA DEL CARPIO</b>       | <b>Signature:</b><br> |
| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b><br> |



## 10.0 WEIGHTING

### **STEP Standard**

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

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

### **Rationale**

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

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

### **Report Requirement**

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

## 10.1 Weighting Procedures

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

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



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

### 10.1.1 Benchmarking Variables

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

### 10.1.2 Source of Benchmark Variables

IRL will provide the most recent counts of the benchmark variables to the STEP Consortium. These counts are from recent official census data e.g 2009 village census.

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## 11.0 CONFIDENTIALITY

### **STEP Standard**

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

*Each country will submit the international data file to the World Bank STEP team (regional team and core team). Data release beyond the World Bank team (in the Anchor and the Lao country team) may not be done until 9 months after the submission of the final data files.*

### **Rationale**

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

### **Report Requirement**

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

#### 1) Outline Laos's data confidentiality requirements

The STEP Survey will be conducted on the authority of the Statistic Law (2011). All persons on the STEP project team will have professional secrecy clearance. The interviewers and interviewer supervisors must take an oath of confidentiality as a condition of employment.

The STEP data collects personal information from respondents. It will be managed according to the rules set out in the Statistic Law (2011). The Statistic Law (2011) requires the protection of the identities of individual respondents. This protection is assured by removing or collapsing selected variables on the data set. Once screened, the data set is considered to be in the public domain and available to all users for the cost of reproduction.


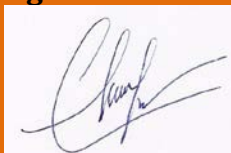
All prospective respondents in the survey will receive an introductory explanation that will include information about the use of the data and any linkage to other administrative files. The letter will inform the respondents about their rights under the Statistics Law (2011), such as the right to revise or delete data and the right to withdraw from the survey at any time. Respondents will be informed that participation in the survey is voluntary. If a respondent is under the age of 18, both the respondents and their parents/guardians will receive introductory explanation. Parents/guardians have the right to decline from participation in the STEP on behalf of a respondent under age 18.

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

The survey instruments, the sampling, and the information gathered by the field workers will not be used for personal or professional goals by IRL, 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 other than the World Bank STEP team (country and core team). The ownership of any information and data belongs to the World Bank.

All interviewers, data entry, coders and supervisory staff will 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.

IRL will follow data release policy mentioned in above STEP standard

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## 12.0 QUALITY ASSURANCE

### **STEP Standard**

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

### **Rationale**



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

### **Report Requirement**

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

### **Quality Assurance**

- 1) Minimize number of the team members (3 interviewers will be supervised by 1 supervisor.
- 2) Three interviewers will be allocated to work in the same PSU each day in order to allow supervisor to monitor their work and support them immediately if any issue raised.
- 3) Interviewer will be required to double check the completed questionnaire before leaving the household to ensure completeness.
- 4) Cross-check between interviewers will be done before leaving the village.
- 5) Interviewer is required to submit completed questionnaire to supervisor immediately after completion.
- 6) The supervisors will carry out a verification of each interviewer's visits by a revisit to 15% of the households in each interviewer assignment. The households involved in the verification process will be randomly selected within each PSU. If any interviewer's work is found to be suspect, the interviewer will be dismissed and all of the interviews done by that interviewer will be redone in their entirety.
- 7) All completed questionnaires will be 100% checked again in IRL office by coding team before sending to data entry process
- 8) DE will done within 5 days of field work, and return to PSU by field supervisory staff to revisit HH's and correct missing or incorrect data
- 9) Double data entry will be conducted
- 10) Final verifying of each data variable will be conducted to capture and correct any error.
- 11) NSDPR will be completed and submitted to the NSDPR review process prior to the fieldwork start.

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### 13.0 SCHEDULE

#### **STEP Standard**

*Each country will provide a schedule of activities for STEP.*

#### **Rationale**

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

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


#### **Report Requirement**

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

The following table provides the planned schedule of tasks.

| <b>Schedule of activities – STEP Survey</b>                  |                                       |
|--|---------------------------------------|
| <b>Activity</b>  | <b>Time Period</b>                    |
| <b>A. Survey Preparation</b>                                 | <b>October, 2011 – February, 2012</b> |
| 1. Preparation of Sample Design and Weighting Specifications | October, 2011 – February 2012         |
| 2. Prepare National Design and Implementation Report         | October, 2011 – February 2012         |
| 3. National Background Questionnaire revision                | October, 2011 – February 2012         |
| 4. Translation and adaptation of revised survey instruments  | October, 2011 – February, 2012        |
| 5. Assessment Booklet composition                            | October, 2011 – December,             |

|  |                              |
|--|------------------------------|
|  | 2011                         |
| 6. Hiring of Field Staff                                     | January-February, 2012       |
| 7. Preparation of interviewer materials and training package | January-February, 2012       |
| 8. Printing of survey materials                              | February, 2012               |
| 9. Sample Selection  | January-February, 2012       |
| 10. Preparation of interviewer assignments                   | January-February, 2012       |
| <b>B. Data Collection</b>                                    | February – May, 2012         |
| 11. Interviewer Supervisor Training                          | January, 2012                |
| 12. Interviewer Training                                     | February, 2012               |
| 13. Main Survey field collection                             | February – May, 2012         |
| <b>C. Data Processing</b>                                    | <b>February - July, 2012</b> |
| 14. Scoring  | May, 2012                    |
| 15. Data Capture   | February – June, 2012        |
| 16. Coding   | February - June 2012         |
| 17. Weighting  | June, 2012                   |
| 18. Data Editing   | June, 2012                   |
| 19. File construction and delivery                           | July, 2012                   |
| <b>D. Survey Evaluation</b>                                  | <b>June-July 2012</b>        |
| 20. Obtain feedback re survey procedures from staff          | June-July, 2012              |
| 21. Review survey procedures                                 | June-July, 2012              |
| 22. Preparation of Main Survey Evaluation Report             | June-July, 2012              |

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| <b>CHANSADA SOUVANLAS</b>      | <b>Signature:</b><br> |

## 14.0 BUDGET

### STEP Standard

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

### Rationale

A budget of expenditures is a key planning tool.

### Report Requirement

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

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

| <b>Budget Estimate – STEP<br/>- EDITED -</b>    |                               |
|---|-------------------------------|
| <b>Item</b>                                     | <b>Estimated Expenditures</b> |
| <b>1) Project Team Salaries</b>                 |                               |
| <b>2) Travel (e.g., international meetings)</b> |                               |
| <b>3) MISCELLANEOUS EXPENSES</b>                |                               |
| <b>TOTAL Estimated Expenditures</b>             |                               |

Note: additional budget requirement for:

- Printing booklets (not photocopy) – **EDITED**
- Hiring bilingual scorers – **EDITED**

Budget breakdown is as follow:

**- EDITED -**

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| <b>CHANSADA SOUVANLASY</b>     | <b>Signature:</b>                             |



