

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

VIETNAM

30 March 2012

INSTRUCTIONS TO COMPLETE THE NSDPR

Grey Boxes	<p>The grey boxes will be used for</p> <p>(A) Background information for the section (B) Outline of the required information (C) Agreed standards as required by the Terms Of Reference (TOR)</p> <p>NO changes required. Occasionally, the survey firm will be required to fill basic information (such as the name of the country) within these boxes. These situations will be signaled by being written in blue between the ‘<’ and ‘>’ characters (e.g. <Country>)</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>FIRMS/AGENCIES SHOULD ADJUST THESE SECTIONS BASED ON THE COUNTRY’S EXPERIENCE.</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

1. Provide a brief background of the country's involvement in the STEP survey.
 - a) Include, for example, a brief overview of the literacy situation in the country, reasons for participation, expected benefits for the country, etc...
 - b) Provide information on the country's involvement, if any, in previous adult literacy assessment surveys.

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.

Director General of General Statistical Office (GSO) has sent the Dispatch number 754/TCTK-XHMT dated 12 September, 2011 to World Bank Viet Nam to confirm GSO's commitment to participate in the research and assigned Social and Environmental Statistics Department (SESD) to conduct the Skill Survey in Viet Nam.

1.1. Summary of function, responsibilities and structure of the Social and Environmental Statistics Department (SESD) of General Statistical Office (GSO)

1.1.1. Summary of function, responsibilities of Social and Environmental Statistics Department

The SESD is one of subject matter departments in GSO which has responsibility to

help GSO's leader to collect and report social, and environmental statistics, among them education, culture, sport, health, living standards, nationwide. Please refer to organization structure of GSO for details.

The detail responsibilities of SESD are as below:

a) Cooperate with Methodology Department of GSO to conduct the research and develop, and improve the administrative report systems and survey methodology related to social and environmental issues, including:

- Develop the social and environmental indicator system and calculation method for this indicator system.
- Develop administrative report system assigned to provincial statistical offices and related ministries.
- Develop the survey methodology for each specific survey related to social & environment issues to be applied in the whole country consistently.

All above contents about social and environmental statistic must to be met the requirements of marco management of Government and correctly reflected current status and development trend of social and environmental issues in Vietnam.

b) Organize the data collection, process the collected data, analyse the data and make the report submitted to the GSO's leaders, including:

- Based on the administrative report system, organize data collection process from provincial statistical offices, ministries and other agencies (if necessary).
- Implement the census or surveys (as mentioned in item a) to collect necessary information that do not include in administrative report.
- Apply the modern data processing methods to process and analysis collected data.
- Create the time series data; compile the publications and statistical year book related to social and environmental issues.

c) Provide data to integrated information department and other users in accordance with its responsibilities in order to ensure the consistency and quality of the provided information and the confidentiality information regulation.

d) Give a guideline and assistance; regularly supervise provincial statistical

offices and related ministries about the implementation of the administrative reports and surveys in accordance with Statistical Law.

e) Develop the work plan for international cooperation in social and environmental issues; prepare the schedule and contents to ensure the implementation of the work plan that has been signed with the international agencies.

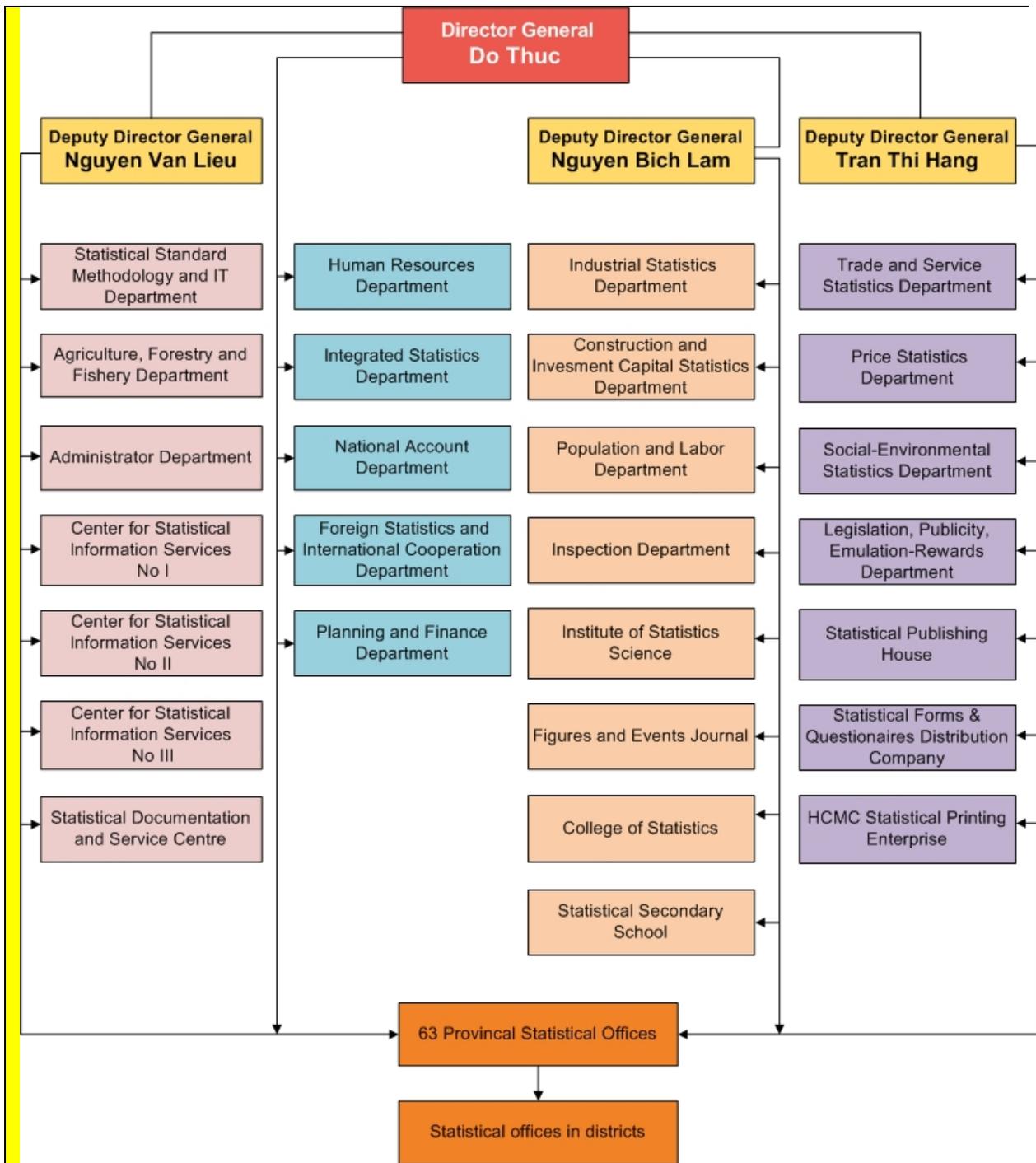
f) Cooperate with the GSO's inspectors to implement the inspection of the implementation of the provincial statistical offices in accordance with the annual work plan.

1.1.2. Summary of the structure of Social and Environmental Department (SESD)

At the central level, there are 26 experts working in SESD, of which 4 leaders (a director and 3 deputy directors). Of the 26 staff, all of them have BA degree, 20 persons have BA statistics degrees and 8 persons have master degrees. During past 10 years, all SESD's staff participated in many training, advanced courses including oversee training courses to update the new technology and knowledge related to statistic. They have a lot of experience in conducting the households-based surveys in all stages such as questionnaire design, sampling design, data collection organization, supervision, data processing and analysis the result.

At the provincial level, there is a Province Statistics Office (PSO), in which there is a social and environmental unit with 4-5 staff in each of 63 provinces. The function of the unit are to collect data and report information on the social and environmental areas to SESD. In each district, there is a District Statistical Office (DSO) with 4-5 staff, of which there is a person who is in-charge in collecting the social and environmental information at district level. The SESD has successfully implemented many big and challenge surveys such as Vietnam Living Standard Survey (VLSS), Multi Purposes Household Survey (MPHS), National Health Survey, and Vietnam Household Living Standard Survey (VHLSS).

Organization Chart of GSO



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

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

A project team has been established to carry out the STEP survey in Viet Nam. This section identifies the project team members, outlines their qualifications and experience, and summarizes the responsibilities of each team member. Note that all team members will be working full-time on this project.

1. National Project Manager

Mr. Nguyen Dinh Chung has been appointed as the National Project Manager. Mr. Chung graduated from National Economics University with BA degree on Statistics. He has 25 years of experiences on statistics. He is Deputy Director of SESD of General Statistical Office of Viet Nam (since 2007). His major responsibilities are directing and managing Statistics activities on Education and Training, Professional Training, Health care, Culture, Communication, Children and Women areas.

He has been involved in many large surveys in survey design, questionnaire design, sample design, supervising fieldwork, processing and analyzing data, such as:

- Viet Nam Household Living Standard Survey series conducted by GSO (1990, 1993, 1994, 1996, 1997, 1999, 2002, 2004, 2006, 2008, 2010, 2011, 2012). Sample size: 45000-100000 households. The surveys included hundreds of questions, with modules on Education and Employment.
- UNICEF's Multiple Indicator Cluster Survey series (MICS series: MICS1-1996, MICS2-2000, MICS3-2006 and MICS4-2010-11). Sample size: 8000-12000 households. MICS is to evaluate Goals on children on children and women (the World Child Summit Goals (1990), World Fit for Children Goals, MDG). MICS has questions on education.
- SAVY-2004 and SAVY-2009 (Survey Assessment of Vietnamese Youth). 8000-10000 respondents. SAVY has modules on education and employment
- Family survey 2006. Sample size of 9400 households, with modules on education and employment.
- UNESCO's LAMP survey (Literacy Assessment and Monitoring Program). Field test was implemented in 2010. The main survey is expected to be conducted in 2012-2013.

He is an expert in data processing for large surveys (more than ten thousand households) . He knows Stata, SPSS, SAS; CSPRO, Devinfo... very well

Supporting Mr. Chung is an experienced group of individuals having expertise in survey management, probability sample design, data collection (including interviewer training and non-response reduction), data processing (including data capturing, coding, and editing), survey weight and estimation, and data analysis. The team will consist of Mr. Vo Thanh Son (Senior Survey Methodologist), Mr. Do Anh Kiem (Data Collection Manager) and Ms. To Thuy Hanh (Data Processing Manager). These individuals have worked directly with previous national and international large-scale surveys as well as with the design and development of both paper-and-pencil and computer-assisted surveys. While each individual is assigned an

area of primary responsibility, they will work as a team so that each has a complete understanding of the overall project objectives and requirements. Within these areas of primary responsibility an individual will be required to monitor and oversee progress on all relevant tasks, and to report regularly to Mr. Chung.

2. Senior Survey Methodologist

Mr. Vo Thanh Son is a Senior Survey Consultant in GSO. He graduated in 1997 with a Postgraduate Diploma in Mathematics, Curtin University of Technology, Western Australia. He received in 1981 B.A., Hanoi National Economic University, Vietnam, in Economics and Statistics. Mr. Vo Thanh Son has approximately fifteen years experience in the design and implementation of surveys, including such activities as sample design, questionnaire design, interviewer mobilizing and training, data processing, weighting, estimation, and analysis of survey results. He also has extensive experience in the development and delivery of training programs pertaining to survey design and implementation, and data processing.

Currently, he is the Senior Survey Consultant for the Viet Nam Household Living Standard Survey, a national household survey on Living Standard Study. Mr. Vo Thanh Son is the methodology representative on the survey team. He is responsible for all aspects of the survey design, and estimation. In addition, he provides advice to the other team members regarding the methodological considerations for the data collection and data processing.

3. Data Collection Manager

Mr. Do Anh Kiem is Deputy Director, Social and Environmental Statistics Department, General Statistics Office (since 2007). He is Bachelor of Statistics, National Economic University, Ha Noi, 1980-1984. Mr. Kiem has been working for GSO from 1985, and has 27 years experience on data collection and fieldwork management. His responsibility is to manage and monitor surveys conducted by SESD. His experience for this position is rich in 2 areas: fieldwork activities and survey management.

He worked as a manager for fieldworks activities for many large surveys, such as: *Vietnam Living Standard Survey (VLSS) 1993, 1998; VHLSS 2004, 2006, 2012*. These VHLSSs covered a large number of households (approximate about 45000) over the whole country.; *Youth Live Survey (2009); Women Health and Experience 2009* (4500 women over 63 provinces)

In addition, Mr Kiem worked as an expert/consultant for many projects, surveys on social issue: Trainer on Poverty Measurement and Analysis for some Ministries, Institutes and Universities, organized by World Bank Institution (WBI); Consultant for project “Poverty Mapping and Market Access in Vietnam”; Trainer on Poverty mapping using Small Area Estimation Technical for staff of Committee of Ethnic Minority; consultant in questionnaire design of National Health survey.

4. Data Processing Manager

Ms. To Thuy Hanh

Ms. Hanh is a Statistician in the Social and Environmental Statistics Department, General

Statistics Office

Her education: Bachelor in Statistics, the National Economic University (2002-2006)

She participated in training course on MICS4 survey data processing (CSPro) and analysis (November 2010), Bangkok, Thailand – Certificated by UNICEF regional Office

Ms Hanh has 5 years working on data process field. In 2010-2011 she was responsible for data entry management, data cleaning and processing for *Multi Indicators Cluster Survey 2010-2011 (12000 households)*. At that time she was a member of MICS4 Final report writing team. In addition, she also experienced in data processing for surveys such as *Vietnam Living Standard survey (2008, 2010)*, *Woman Health and experience (2009)*. She was trained and can apply CSPro (design and implement) for data entry and cleaning. About analysis program, she has been a trainer/facilitator for STATA program. She used STATA to estimate indicators for VHLSS 2008, 2010; she applied small estimate method to poverty rate using VHLSS and Census (2010); she participated in production of Child Poverty multi-dimensional report (2009-2010)...

She has a lot of experiences on survey field, including:

Vietnam Household Living Standard Surveys VHLSS (2008, 2010): participating in logistic preparations for survey; working as an assistant in training course for provincial trainers; assisting leaders of SESD in the preparation of supervision plan for the fieldwork.

Literacy survey (2007): participating in preparation for the survey (official documents, invitations for training courses & meetings, materials preparation...), Assisting sampling procedures in sampling preparation

Survey Assessment on Vietnam Youth (2008); *Young Lives (2009)*: worked as an interviewer for testing questionnaires by PDA (input information directly to PDA instead using paper questionnaires) in Hoa Binh and working as a supervisor in the survey

Women health and Life experience survey (2009 -2010): participated in translation of survey documents such as interview manual; worked as facilitator in training course for field workers; collaborated with GSO experts and WHO to finalize the Questionnaire; supervising fieldwork

Child with disability survey (2009-2010): Participated in adaptation of CWD survey to be conducted in Da Nang; making “Survey plan” of CWD survey; and collaborated with MOH, Unicef in making final health questionnaire; worked as interviewer for field test to complete the questionnaire screening disability; participated in training course for Da Nang interviewers; worked as supervisor; drafted training report and data entry report

Literacy assessment and monitoring program (2010-2011): Participated in as consultant to edit base questionnaire

Multi indicators cluster survey – Round 4 (2010 – 2011) Took part in data processing, which includes data processing, data cleaning, data editing. Supported international consultant in applying data entry program in Vietnam; participated in writing MICS4 report.

5. Language Specialist

Mr Nguyen Phong

Director – Social and Environmental Statistics Department

Education:

- 2007: Ph.D Candidate on Management Issues and Multilevel Models in the context of Viet Nam Household Living Standards Survey at University of South Australia (UniSa)
- 2003 - 2006: Master of Business Administration in Business Data Analysis, McCallum Graduate School of Business, Bentley College, Massachusetts, United States of America.
- 1970 - 1975: Bachelor of Science in Probability and Mathematical Statistics, University of Wroclaw, Poland.

Experience on Language:

Mr Phong has been working for 30 years in the survey field, especially on questionnaire/survey tools design. With PhD research in South Australia University-Australia, an MBA from Bentley College,-Massachusetts, USA, he is fluent in English and an expert in survey design.

The following are examples of experience in questionnaire design, editing or adapting:

- The Vietnam Living Standard Survey rounds 1993, 1997, 2002 – 2012: Participated in the design of questionnaires, writing manuals for interviewers and supervisors, monitoring field work, processing and analyzing data, writing the final report (statistical abstract).
- The Household survey of Income and Wealth in Vietnam (1993): Participated in designing questionnaires
- Worked as a national consultant in the design of questionnaires, writing manuals for interviewers and supervisors, processing and analyzing data, writing the final report for the first survey on universities in Vietnam, funded by the WB.

Tasks of language specialist: To combine all documents (questionnaires, manuals and tools) from 2 translators, review and edit. Provide a final set of all required documents with high quality to ensure the documents have the original meaning and harmonize to the Vietnamese language.

Publication (For reference):

Bayesian Analysis of Poverty Rates: the Case of Vietnamese Provinces, (co-author), Journal of Modern Applied Statistical Methods (May, 2003, Vol.2, No. 1 2-280).

Graphical and numerical descriptive analysis: Exploratory tools applied to Vietnamese data, (co-author), Statistical Scientific Information, GSO, Hanoi (No. 1-2003).

Living Standards during an Economic Boom, (co-author), Statistical Publishing House, Hanoi (2002).

Social Indicators in Viet Nam 1990-1995, (co-author), Statistical Publishing House, Hanoi (1997).

Guidebook on Social Indicators for Viet Nam, (co-author), Statistical Publishing House, Hanoi (1997).

Vietnam Living Standards Survey 1992-1993: Statistical Abstract, (co-author), State Planning Committee and General Statistical Office (1994).

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

I agree with the above,

**EMMANUELA DI GROPELO
CHRISTIAN BODEWIG**

Signature:

NGUYEN DINH CHUNG

Signature:

2.2 Project Structure

Report Requirement

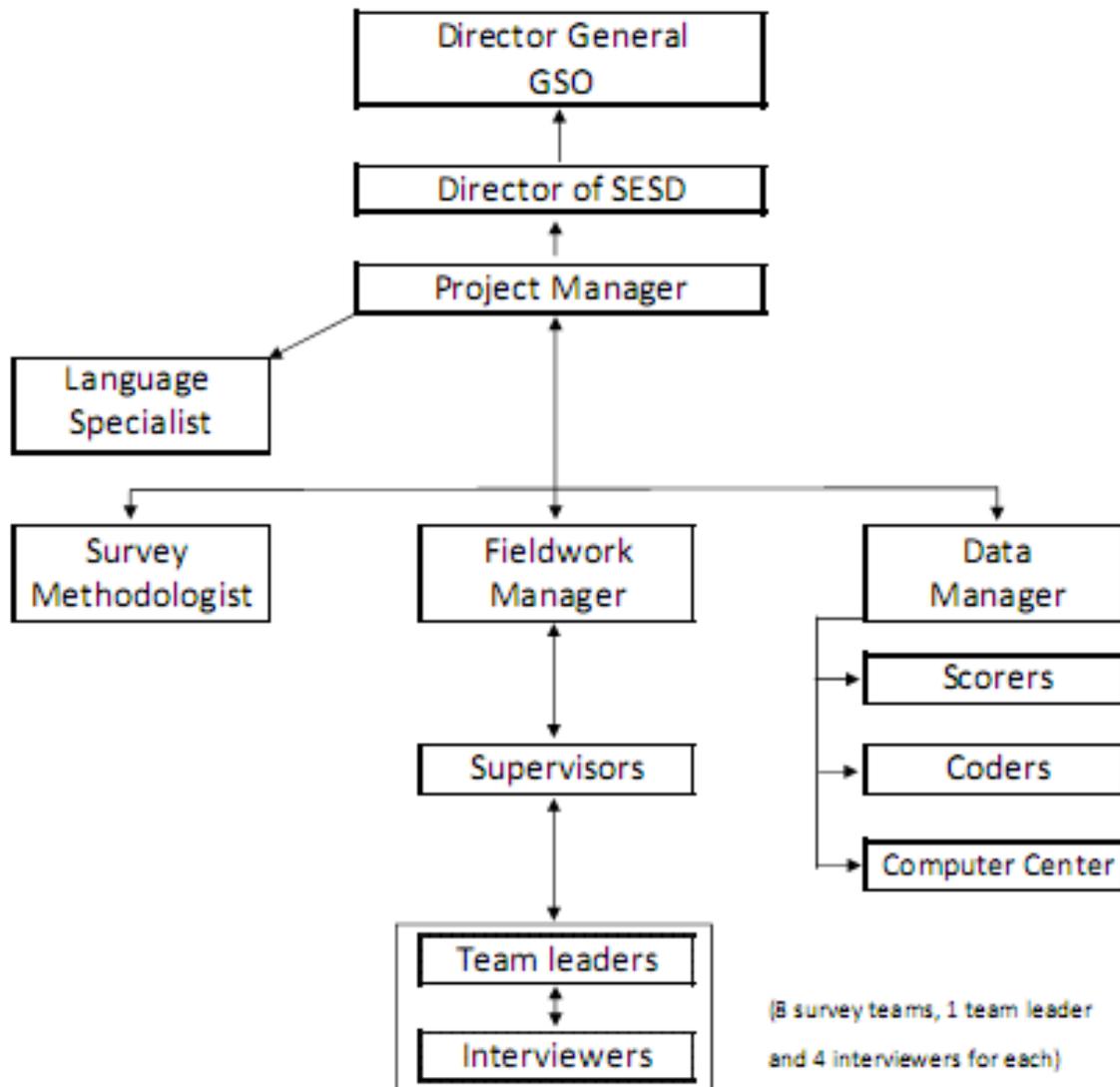
1. Identify the sponsoring organization

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

The STEP will be carried out by the project team headed by Mr. Nguyen Dinh Chung who will report to Mr Nguyen Phong - Director of SESD and Mr. Do Thuc - Director General of General Statistics Office of Viet Nam.

The organization chart for STEP is as follows:

Figure 1: Viet Nam STEP Project Organization Chart



Mr. Nguyen Dinh Chung, the National Project Manager, will have responsibility for:

- overall direction and management of the project,
- liaising with the members of the STEP Consortium,
- the development and validation of all instrumentation for STEP;
- developing the project plan,
- ensuring that the project requirements are delivered on time and within budget

Mr. Vo Thanh Son, the STEP methodologist, will be responsible for

- survey design and implementation,
- weighting and estimation,

- regular data analysis.
- training, development of interviewer materials
- In-charge for answering professional questions from survey teams

Mr. Do Anh Kiem, the STEP Data Collection Manager, will have responsibility for:

- hiring, training, monitoring and control of data collection staff, such as interviewers and interviewer-supervisors,
- development of interviewer materials
- development and implementation of data collection procedures
- control of both item non-response and complete non-response

Ms. To Thuy Hanh, the STEP Data Processing Manager, is responsible for:

- data capture,
- coding,
- editing,
- file creation
- tabulation of survey results

Mr Nguyen Phong, the STEP Language Specialist, will be responsible for:

- finalization of translation and adaptation of STEP assessment items.

Supervisors: Vo Thanh Son, Than Viet Dung, Pham Xuan Luong, Nguyen Thanh Ngoc

Coders: To Thuy Hanh, Vo Thanh Son, Ho Kim Nhung, Nguyen Thanh Tu,
 Nguyen Duc Hanh, Nguyen Thi Bich Phuong.

Data operators: Ten persons from GSO's Computer Center.

I agree with the above,	
EMMANUELA DI GROPELO	Signature:
CHRISTIAN BODEWIG	
NGUYEN DINH CHUNG	Signature:

3.0 SURVEY OBJECTIVES

STEP Standard

The STEP research program has two international objectives:

- 1. Develop and apply harmonized survey instruments to: (i) assess the distribution of 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

There are indeed no country-specific objectives in addition to the STEP objectives

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

I agree with the above,	
EMMANUELA DI GROPELO	Signature:
CHRISTIAN BODEWIG	
NGUYEN DINH CHUNG	Signature:

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.

Vietnam’s Target Population Description:- All people from 15-64 years old living in urban areas in Ha Noi and Ho Chi Minh City (HCM). The reasons for selection of these two cities include (i) They are two biggest cities of Viet Nam, so they would have all urban characteristics needed for STEP study, and (ii) It is less costly to conduct STEP survey in these two cities, compared to all urban areas of Viet Nam, given limitation of survey budget.

- Definitions of concepts related to the survey unit, e.g., dwelling, household, usual place of residence are similar to STEP standards, except one, which is household member is a person who spent most of their daily rest at the dwelling for at least six (6) of the past twelve (12) months. This is the definition of household member of 2009 Population and housing Census in Viet Nam.

- The target population excludes foreign diplomats

- Language in which the literacy assessment will be carried out is Vietnamese.

1. Specify any special additions to the target population.

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

There are no special additions to the STEP survey in Viet Nam.

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

The target population is not representative for the national urban population.

4.2 Method of Data Collection

STEP Standard

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

All components of the literacy assessment must be administered in the same visit (i.e., General Booklet and applicable Exercise Booklet).

Rationale

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

Report Requirement

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

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

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

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 Viet Nam is expected to be <95%>. This overall response rate takes into account an expected assessment CORE exercise 'Pass' rate of <75%>.

This expected response rate and expected Core pass rate are based on the following reasons:

- Viet Nam household survey usually gain very high response rate (more than 90%)
- We do not have any experience in the past on Core pass rate, so we estimate the pass core rate of 75%.

4.4 Sample Frame

STEP Standard

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

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

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

Rationale

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

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

Report Requirement

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

Sample Frame

- Frame type: List of Enumeration Areas (EAs). An EA is a geographic area which has clear boundary and has about 100 households

- Source of frame: 2009 Population and Housing Census.

- Regarding PSUs (EAs), the sampling frame is the list of 15% of total EAs of 2009 Population Census. Data items on the frame for PSU include province code, district code, commune code, and EA code; address of EA, number of households.

- Regarding ultimate sampling units (households), sampling frame is a list of (100) households in each EA. Data items on the frame for ultimate sampling units (households) include names of heads of households.

- Survey frame counts:

The sample of 3405 households selected from 227 urban Enumeration Areas (EAs) in Ha Noi (107 EAs) and Ho Chi Minh City (120 EAs). From each EA 15 households will be selected, so the number of households selected in Ha Noi is 1245 HHs, and in HCM is 2160 HHs.

City	Total urban EAs (Census 2009)	Total rural EAs (Census 2009)	Total number of EAs (Census 2009)	Number of urban EAs (15% sample)	Number of rural EAs (15% sample)	Total number of EAs (15% sample)	STI sam
Hanoi	5190	6757	11947	557	739	1296	
HCM	10573	1907	12480	892	156	1048	
Total	15763	8657	24427	1649	895	2344	

The sample frame includes the list of urban EAs and the count of households for each EA. Changes of the EAs list and household list will impact on coverage of sample frame. By the recent review of Ha Noi, there are only 3 EAs are the new or destroyed ones from 140 random selected EAs (2%).

GSO will increase the coverage of sample frame (>95% as standard) by updating the household list of the selected EAs before selecting households for the STEP SKILL. Using the census listing of the EA as a starting point, the team will do a door-to-door listing of households in each selected EA.

We will:

- a) Provide survey frame counts by stratum and type of survey unit (e.g., PSUs, dwellings) as applicable to the sample design.
- b) 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.
- c) Explain any expected deviations from the STEP Technical Standards.

4.5 Sample size – Full Assessment

STEP Standard

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

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

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

- 1) *All modules in the Household Questionnaire have been administered.*

- 2) *All items in the General Booklet were attempted.*
- 3) *All items in the assigned Exercise Booklet were attempted.*

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

Rationale

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

Report Requirement

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

STEP requires a minimum sample of 2400 completed interviews, where complete to count for the completed literacy interviews means that:

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

If the final total interviewed households is 3405 (total sample size of 3405 target households with the use of reserve households (3405 reserve households) for non-response of target households), and the expected core pass rate is 75%, we expect to have 2553 completed literacy interviews. (We will be activating reserve households in the case of non-completion of the individual questionnaire by any household. We will not activate a reserve household if the

individual portion of the questionnaire is begun by the target household, but for some reason (refusal, illiteracy, etc) the reading module is not completed.
 From the point of completed household cases overall, the requirement is to count a household as interviewed if the household portion of the questionnaire is completed, the individual respondent is chosen and the individual completes at least some of the individual interview (and the assumption is that once the individual modules are begun, most individuals will complete all the individual modules until the reading exercises.) Thus the number of completed interviewed households will be 3405, as reserves will be activated.

2. Special additions to the STEP sample size.

No special addition to the STEP sample size.

3. Sample Monitoring procedure

Sample monitoring is very important with Viet Nam STEP. It means giving attention to all problem in the field to reduce the non-response rate. The sample monitoring process can alert to possible shortfalls in the sample, difficulties in achieving the desired response rate, and potential non-response bias in the collected sample. The ongoing monitoring of the sample completion will allow to provide more sample as needed.

Team leaders have to report to GSO the result of data collection of every 2 EAs. This data will include interviewer/supervisor identification, location information, refusal status, date of interview and re-visits, starting/ending time of interview, completion codes, modules completed (if the interview is recorded as 'incomplete'), type of booklet assigned.

Project Managers will closely monitor the data collection by maintaining weekly ongoing statistics throughout the field time, revisiting any teams who are performing less well than others, and alerting the STEP consortium in the case that the trend is lower than estimated for the number of complete cases to ensure that the overall target sample size of 2,400 complete literacy cases is achieved, and also to ensure that there are 600 complete cases for each of the four Exercise Booklets.

I agree with the above,	
EMMANUELA DI GROPELO CHRISTIAN BODEWIG	Signature:
NGUYEN DINH CHUNG	Signature:

5.0 SAMPLE DESIGN

STEP Standard

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

Rationale

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

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.

Sampling design

The sample of 6810 households will be selected in four stages. In the first stage, 227 EAs (hereafter referred to as *Primary Sampling Units* or *PSUs*) will be selected. In the second stage, 15 target households and 15 reserve households will be randomly chosen from the selected PSU. The main respondent will be randomly selected in each household visited among all household members aged 15 to 64 years. The selection method for the main respondent is described in the household questionnaire. There is no replacement of main respondent allowed.

Geographic coverage. The survey will cover the urban area of two largest cities of Viet Nam, Ha Noi and HCMCT.

First sampling stage. The PSUs will be urban *EAs*. The sample frame will be the 15% sample of urban *EAs* of 2009 Population and Housing Census of each city. For each PSU, the sample frame contains an ID code for each EA (a combination of province code, district code, commune code, and EA code), number of households.

At the first stage of sampling, 227 *EAs* will be selected with probability proportional to size, where the measure of size is the number of households in an EA.

Selected *EAs* together with dwelling chart and household lists will be sent to Provincial Statistics Office for reviewing and updating.

Second sampling stage. The sample frame for the selection of dwellings in each selected PSU will be the updated list of all dwellings in the PSU. In the second stage, 15 dwellings will be selected from a list of dwellings in each selected PSU by systematic equal probability sampling. At the same time, a reserve sample of 15 dwellings will be selected for use as needed to ensure that the target sample size of 3405 completed household and individual interviews is achieved, and using the previous estimate of 75% completion rate for the literacy exercises, we estimate that the target of 2400 completed literary cases will be achieved from the interviewing of 3405 households..

- a) The country is responsible for providing a current listing of all the private dwellings within the selected PSUs. In the absence of an up-to-date dwelling list in a selected PSU, the survey firm is responsible for creating the required list of dwellings by carrying out a thorough listing of the dwellings in the selected PSU. On completion of the dwelling listing operation, the country will deliver to the STEP Consortium a copy of the lists, and an Excel spreadsheet with the total number of dwellings listed in each of the selected PSUs.
- b) To conform to the goal of a self-weighting sample, the households would ideally be selected with probability proportional to size, resulting in a variable number of sampled households per PSU. However, for the STEP Survey a decision, based on operational convenience, was taken to obtain the same number of completed interviews, i.e., 15 completed interviews, per PSU. The sample may still be approximately self-weighting provided the PSUs do not vary significantly in size.
- c) Essentially, 30 dwellings comprised of the initial target sample of 15 dwellings and a

reserve sample of 15 dwellings will be systematically selected in the field and assigned serial numbers from 01 to 30 based on the order in which they are selected. The STEP Consortium sample file for the country will include for each sampled PSU the random subset of 15 dwellings that are to be used as the initial target sample, and the random subset of 15 dwellings 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 would indicate that the fifteen dwellings numbered 04, 05, 06, 08, 10, 13, 16, 17, 18, 19, 21, 23, 26, 27, and 28 is the random subset of the 30 selected dwellings that would constitute the survey's **initial target sample**. The STEP Consortium sample file for the country will include a different random sequence for each selected PSU.
- ii) In this example, the remaining fifteen dwellings numbered 01, 02, 03, 07, 09, 11, 12, 14, 15, 20, 22, 24, 25, 29 and 30 would constitute the **reserve sample**. The reserve sample will be used in the order shown here. That is, dwelling unit 01 will be used for the first instance of non-response, dwelling unit 02 will be used for the second instance of non-response, dwelling unit 03 will be used for the third instance of non-response, dwelling unit 07 will be used for the fourth instance of non-response, and so on.
- iii) The reserve sample should only be authorized for use by a senior manager, e.g., the country's data collection manager, after the recommended follow-up procedures have been unsuccessful in gaining an interview.

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

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

Fourth sampling stage. The main respondent will be randomly selected in each selected household from among all household members aged 15 to 64 years. The selection method for

the main respondent is described in the Household Questionnaire.

- j) 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.
- k) Each Household Questionnaire will include a table of random numbers to be used in selecting a person to interview.
- l) A question in the Household Questionnaire guides the Interviewer to determine the number of eligible household members, say A.
- m) The Interviewer refers to the table of random numbers and, reading across the table row(s), chooses the first number in the table, say B, that is less than or equal to A.

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

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

The STEP consortium will be responsible for the first stage – the selection of the EA’s, the specification of the target and reserve household numbers, and the specification of the Exercise Booklet to be assigned to the initial sample. GSO supervisors will be responsible for Stage 2 of the sample selection and the last two stages will be done by the interviewers.

On completion of the household listing operation, GSO 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 227 visited PSUs.

I agree with the above,	
EMMANUELA DI GROPELO CHRISTIAN BODEWIG	Signature:
NGUYEN DINH CHUNG	Signature:

6.0 LITERACY ASSESSMENT

STEP Standard

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

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

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

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

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

Rationale

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

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

The STEP Consortium will be responsible for the sampling of first stage sample units for each participating country and will provide a sample file that will indicate the Exercise Booklet to be assigned for each of the sampled cases in the initial sample of <3,000-4,000> target population. When there is a non-response case that is replaced by a reserve sample unit, the supervisor responsible for the release of the reserve sample unit will ensure that the Exercise Booklet # assigned to the reserve sample unit is the same as the Exercise Booklet # assigned to the initial sample unit that is being replaced.

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

Report Requirement

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

Vietnam will implement a full literacy assessment in VIETNAMESE LANGUAGE.

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

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

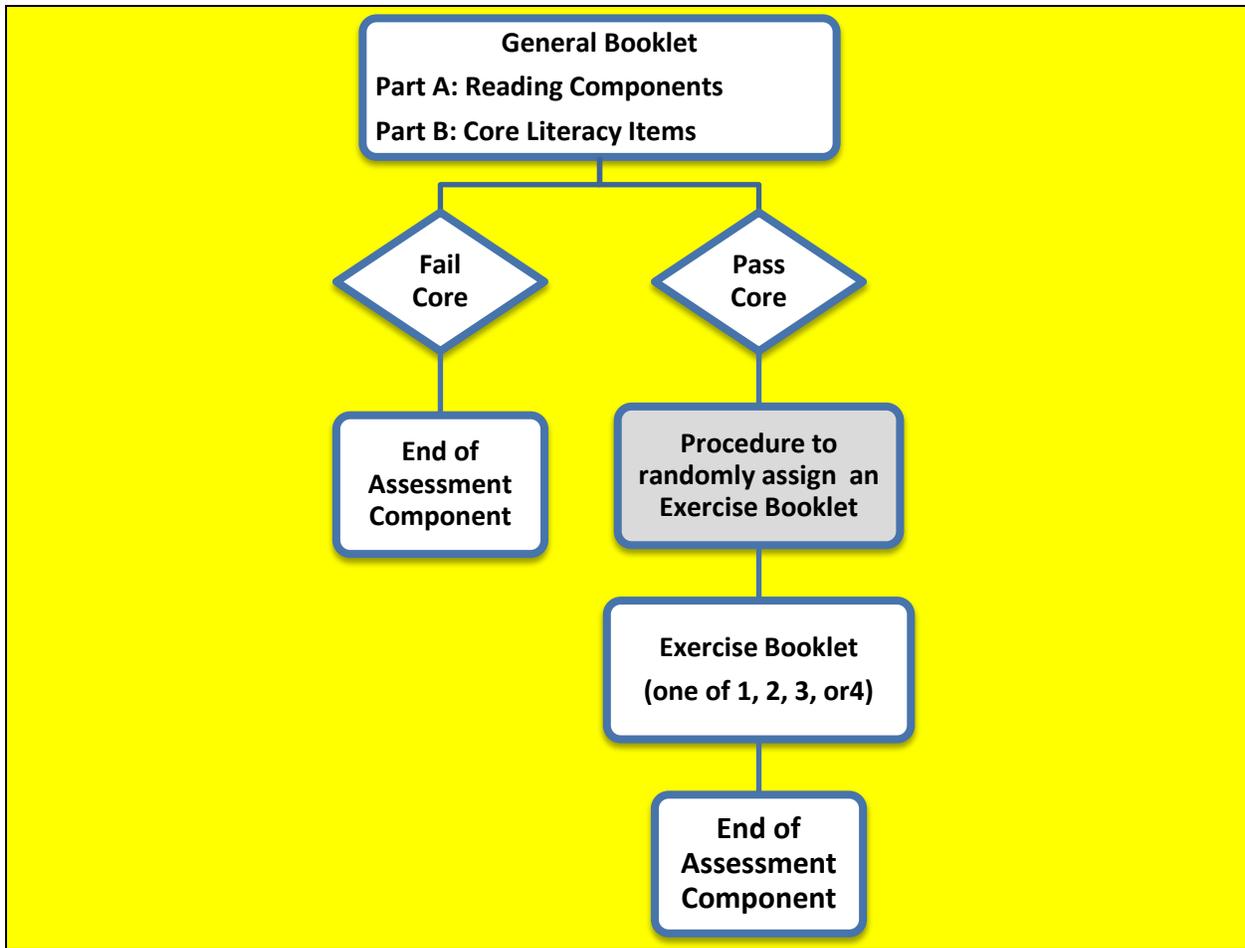
- Part A is an assessment of reading skills.
- Part B is a set of CORE literacy items.

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

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

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

Figure 1. Proposed Workflow – Full Assessment



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.

We agree that we are responsible for the translation of the assessment instruments and their adaptation to national circumstances. The translation and cultural adaptation of the assessment items were carried out according to the translation and adaptation guidelines prepared by ETS: with double translation by two independent translators, followed by reconciliation by a third translator. The translated and adapted booklets have been approved by ETS.

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 printing criteria:

The approved assessment booklets will be printed as booklets that can lie open fully flat, with staples (rather than saddle stitching) so that each page of the final printed booklets is on an A4-size page.

Except for using staples rather than saddle-stitching, all assessment booklets from ETS are printed according to the printing instructions provided in the document 'STEP_Paper_Booklet_Printing_Specifications.doc'.

I agree with the above,	
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NGUYEN DINH CHUNG	Signature:

7.0 HOUSEHOLD QUESTIONNAIRE

STEP Standard

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

Country-specific Questions

- 1) *Each country is permitted to insert up to 5 country-specific questions in the Household Questionnaire. The questions and their placement must be confirmed with the STEP Consortium.*
 - a) *The rationale for the inclusion of country-specific questions must be provided.*
 - b) *The wording of the proposed questions must be included in the NSDPR.*
 - c) *The placement of the questions must be discussed with the STEP Consortium.*
 - d) *An outline of the pre-test strategy for the questions must be included in the NSDPR.*

Rationale

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

Report Requirement

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

There will be no country-specific questions included

2. Description of the pretest strategy

Vietnam will implement the Household Questionnaire prescribed by the STEP Consortium. It will be pre-tested as required by the STEP Consortium and as specified below.

A qualitative pre-test

It was not carried out in Viet Nam

A pilot survey

Questionnaires will be adapted as a result of information gathered during the qualitative pre-test. The questionnaires will be finalized in English and will then have the changed questions translated into Vietnamese following the same translation method as mentioned above for the questionnaires.

These finalized questionnaires and sampling methodologies will be tested in a pilot test of 15 households. The household questionnaire will be administered in the households, choosing the main respondent and applying all parts of the questionnaire, including the literacy exercises.

- (a) The pilot test will be conducted approximately half in low -income households and half in medium/high income households. The households will be selected in areas that do not form part of the sample of the main survey.
- (b) The pilot test will be led by the main trainer(s) for the interviewer training, and will involve 5-6 senior persons as interviewers for the pilot. These senior individuals will then be assisting in the interviewer training and will be area (or team) supervisors in the survey. This will allow a further familiarization of the instruments for the survey and will allow for effective debriefing from senior persons.
- (c) Create a brief (5-10 pages) report on the pilot with recommendations for any changes to the questionnaire and for implementation. This report will be based on a template provided by the World Bank team. There will be a debriefing by phone of the main results of the pilot survey.
- (d) It is expected that the firm will work in close collaboration with the World Bank team, in identifying areas that may require adjustments (wording, fluidity, translation, etc.)
- (e) Associated adjustments to the implementation manual and training program for interviewers and field operators will be made upon completion to the adjustments to the instruments. The firm is expected to update training accordingly using the adjusted questionnaire and implementation materials. GSO will work with the STEP core team to address any issues found in the materials after the pilot test and before training begins on April 19.

There will be no country-specific questions included in Viet Nam's questionnaire.

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 reformatted before printing by the Firm (GSO). GSO will print 10% more questionnaires than the 3405 required to complete, in order to have some on reserve.

I agree with the above,	
EMMANUELA DI GROPELO CHRISTIAN BODEWIG	Signature:
NGUYEN DINH CHUNG	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 during the Reading Exercises Module and refuses to attempt all the items.*
- 4) *A verification of an interviewer's visit will be carried out for a random sample of 15% of finalized cases in each interviewer assignment.*
 - a. *An initial personal revisit is required for each of these sampled cases.*
 - i. *In the event that a respondent is not available during the initial follow-up visit a telephone follow-up may be carried out for no more than one third of the 15% sample of finalized cases in each interviewer assignment.*
 - b. *As a result of the verification follow-up procedure, in each interviewer assignment, a verification of an interviewer's visit will be carried out by a personal visit for a random sample of at least 10% of finalized cases, and a verification of an interviewer's visit will be carried out by a telephone follow-*

up for a random sample of no more than 5% of finalized cases.

5) Progress Reporting: *Each week during the survey period, each country will submit to the WB Team a data file containing all the entered survey data to date.*

Rationale

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

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

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

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

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

Report Requirement

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

8.1 Survey Promotion Strategy

8.1.1 Public ‘Awareness’ Campaign and legal documents:

Director General of the General Statistical Office (GSO) will send a dispatch and a Survey Plan to People’s Committee and Provincial Statistical Office (PSO) of Ha Noi and HCM. These

documents introduce the objectives and all other information related to the Survey.

People's Committee of Ha Noi and HCM and PSO of the two cities will send dispatch to lower level (communes and wards) to ask them for their collaboration.

Based on the dispatch of City's authorities and PSO, Commune's People committee (Ward's People committee) will nominate local guiders to collaborate with survey teams during the survey.

8.1.2 Advance Survey Information

Advance Letter

A major factor that can influence response is the initial method of approaching a household. Therefore, the first contacts with selected households will be a carefully worded, attractive advance letter from the Director General of GSO of Vietnam. Interviewers typically report that they are better received if respondents have read the introductory letter and that official-looking letters on Government stationery have a good likelihood of being read.

8.2 Contact Strategy

The first contact will be by means of the advance materials described in the previous section.

The local guider will work closely with survey teams, they will go to every household a day before the first visit of interviewers to arrange an appointment with interviewers of the survey team. The local guiders will be very important to guarantee for cooperation of households, increase the response rate of the survey. For the revisits, the local guiders will contact with the respondents to confirm the time of a revisit and inform the survey team.

All selected households will be contacted by a personal visit from a STEP Interviewer. At least three contact attempts will be made before coding the case as a non-contact.

The interviewers will also be provided with a "*Sorry I Missed You*" card to leave at the selected household when nobody is at home. The interviewers will also be instructed to try to establish a likely time when someone can be reached by contacting a neighbor.

Contact attempts subsequent to the first attempt will be scheduled according to the information received during the first contact attempt, or at different times of the day and different days of the week.

Trained Interviewers

Major factors in gaining respondent cooperation are the respondent's perception of the survey and his or her reaction to the interviewer. The respondent must be made to feel that he/she will be making a valuable contribution to an important research effort. The spokesperson for the study is the interviewer; therefore, each interviewer will be well-trained to discuss the merits of the STEP. To adequately prepare the interviewing team, all interviewers must attend an in-

person training session, where time can be spent developing these necessary skills.

Interviewer Identification

Establishing the legitimacy and importance of the survey effort for the respondent encourages respondent cooperation. Many people are suspicious of any stranger who comes to the door, and a number of procedures help to establish the legitimacy of an interviewer's visit. The most effective way of overcoming suspicion is through a good introductory statement during which the interviewer shows an ID badge and [a copy of the advance letter](#).

8.3 Response Rate Strategy to Minimize Non-response

In an effort to obtain a response rate at 95 percent or higher, a number of non-response strategies are being considered. They include:

- 1) **Mobilize a maximized Collaboration of commune/ward authority level.** It will facilitate the survey teams during the fieldwork and it make confidence from household to the survey activities.
- 2) **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. The interviewers will be trained and followed the ethic regulations as principles of the survey.
- 3) **Interviewer Supervision:**
[There are three levels of supervision in Viet Nam STEP to ensure quality of the survey, especially the sample issues as requirement of the STEP: \(1\) Central Level of GSO's supervision; \(2\) Regional Level of GSO's Supervision and; \(3\) Team Level of Supervision.](#)

8.4 Interviewer Hiring Plan

Each interviewer and team leader will be work full time about 3 three months for field work activities. Survey teams will work 6 days per week, but they have to take advantage of weekend and evening to work with respondents who are students or employees and most of them are busy at work or schooling.

8.4.1 Number of Interviewers

There are 40 persons (distributed into 8 survey teams) and about 4-5 persons for reservation.

8.4.2 Method of Payment

Payment will be based on days of fieldwork with three installments with 70% a will be payment in full after finishing the fieldwork with all regular vouchers.

8.4.3 Interviewer Training Plan

Before beginning the actual household and individual survey in the field, GSO will carry out a rigorous training of its interviewers, team leaders and regional field supervisors where the World Bank team is expected to participate. The training should last a minimum of 10 full training days, including one day for field practice.

The GSO will conduct a training with about 52 persons for interviewers, team leaders and supervisors required to field the instruments from which GSO will select the best performing candidates after testing.

The GSO will submit a final list of interviewers, field supervisors, chief coder, and coders for approval to launch the implementation of the survey.

Interviewers will be trained simultaneously, with plenary sessions with trainers and assistant trainers and technical support persons. **The training will use the presentation of trainers as well as group discussions and play-roll practices.**

There will be written exercises and test done throughout the training. These should be marked by training staff, including area supervisors. **The participants will be accepted to the survey as interviewers and team leaders if they pass the training examination tests.**

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

Training staff 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: DE persons will participate in interviewer training. There will be a 3 days training session for about 10 persons on the DE program at the end of the interviewer training.

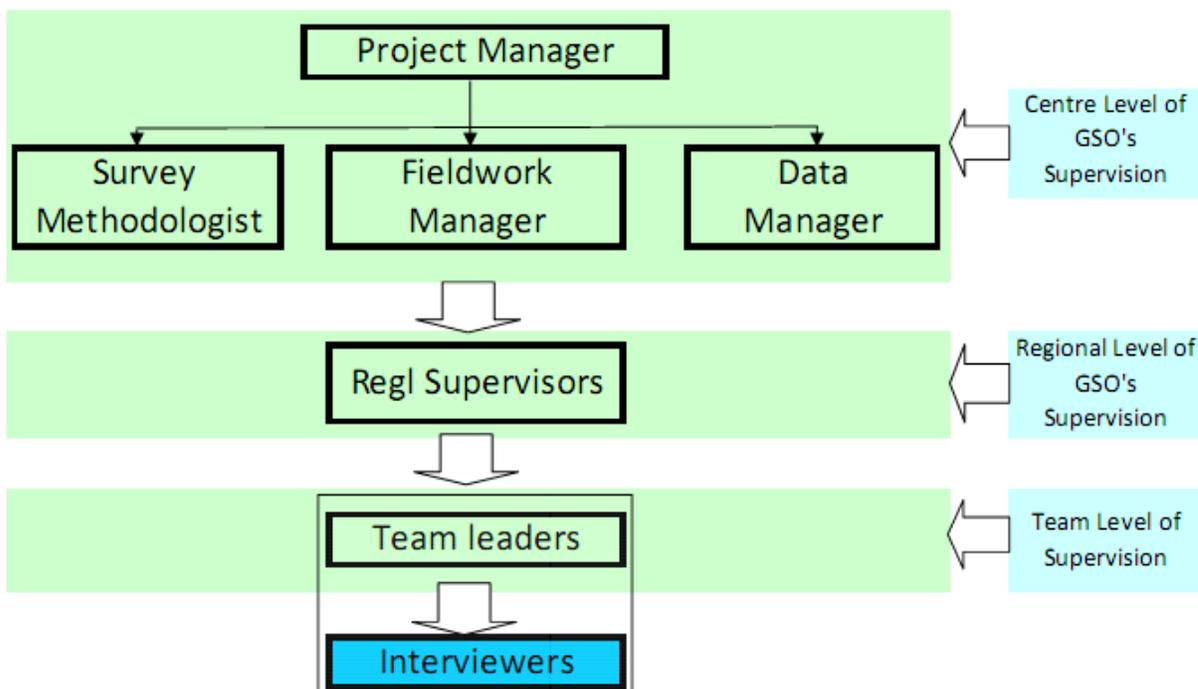
Scorer training: Scorers for the reading literacy booklets will be trained toward the end of the interviewer training period, or just after the interviewer training, by the Chief Scorer. This training will last 3 days.

8.5 Interviewer Supervision Procedures

In order to verify that the interviewer is doing the expected work, a there will be a revisit by a supervisor of 5% of the households interviewed by an interviewer (these 5% to be randomly selected from the interviewer's work). The supervisor will verify that the interview was done, and that the correct individual respondent was selected.

There will be a further follow-up of 5% of the interviews done by the interviewer through a telephone follow-up.

Viet Nam STEP Supervision Model



8.6 Number of Team leaders

The STEP main study will have 8 team leaders; each team leader will be responsible for a survey team with 4 interviewers.

8.6.1 Team leader Responsibilities

A team leader is directly responsible for all activities of a survey team at local.

They have to contact with local authority to ensure all the necessary conditions (local guiders) are ready for activities of the survey team at households. Also team leader has to ensure every day activities of interviewers.

GSO will ensure there is a rigorous supervision process and mechanisms (including spot-checks) in place to ascertain an appropriate implementation of the survey (verifying adherence to the sample selected), correct implementation of tests and adherence to established interview protocols.

They have to participate in interviews to guarantee the proper implementation of survey procedures as well as the quality of questionnaires; deal with problems in replacement of the household sample or respondent collaboration; The team leaders along with regional supervisors will participate in the interviews of interviewers or contact with households/respondents by phone to check/re-interview to deal with survey problems, especially non-response or completed sample structure.

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

- a. A household refuses or does not begin the interview because of special circumstances (result codes 1 or 2).
- b. A household stops before finishing the Household Module, Module 1.
- c. A household where the selected individual is not able to begin the questionnaire – for refusal, for special circumstance, absence, other reasons.
- d. A household where the individual stops without finishing the individual modules 2-7.
- e. A household where the individual stops during the Reading Exercises Module and refuses to attempt all the items.

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.

Team leaders will report all problems (through weekly report or by phone) to the Regional Supervisors or Centre STEP GSO

8.7 Number of Regional Supervisors

The STEP main study will have at least 4 Regional Supervisors who will be supervised by a Central GSO team (Project Manager, Field Manager, Survey Methodologist and Data Manager).

8.7.1 Regional Supervisor Responsibilities

They will be responsible with GSO for supervising survey teams at regions (Ha Noi and HCMCT). They will participate the interviews of interviewers to help them to improve data quality; check the filled questionnaires to find the errors and take over before delivering to GSO; contact with households/respondents through phone to re-interview; and weekly reports with Centre GSO team all technical and fieldwork-organization issues as well as solutions for the problems. Through these activities, the regional supervisors will find out problems and solutions in non-response as well as completed sample structure.

In particular, the supervisors will carry out a verification of each interviewer's visits by a revisit to 5% of the households in each interviewer assignment and a follow-up of a further 5% of households by telephone 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.

Progress Reporting: Each week during the survey period, GSO will submit to the WB Team a data file containing all the entered survey data to date.

I agree with the above,	
EMMANUELA DI GROPELO CHRISTIAN BODEWIG	Signature:
NGUYEN DINH CHUNG	Signature:

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

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

Report Requirement

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

1. Case Identification

Viet Nam 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

Viet Nam will print a sequential booklet ID on each printed assessment booklet.

3. Case Final Status Code

The interviewer is required to record the final completion status of each case in his/her assignment. The accuracy of the recorded status code will be verified by the field supervisor.

I agree with the above,

<INSERT TTL NAME>

Signature:

<INSERT PROJECT MANAGER NAME>

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 following codebooks will be used to code education, occupation, and industry information from the Household Questionnaire.*
 - 01 *‘1997 International Standard Classification of Education (ISCED)’ will be used to code the education variable (i.e. all questions related to the level of educational attainment).*
 - 02 *‘International Standard Classification of Occupations (ISCO 08)’ will be used to code the occupation variable. The level of disaggregation will be 3-digit.*
 - 03 *‘International Standard Industrial Classification of All Economic Activities, Fourth Revision’ will be used to code the industry variable. The level of disaggregation will be 3-digit.*
- b) *The verification of the coding of Household Questionnaire data and assessment data will be performed according to the specifications of the STEP Consortium.*
 - i) *Data that has been manually coded will be 100% verified by another coder. The average error rate for manually coded data must not exceed 6%.*

3) Scoring

- a) *Each country requires a Chief Scorer who is fluent in English and the country's STEP reporting language(s) and at least one other scorer who is fluent in English and the country's STEP reporting language(s).*
 - b) *The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium.*
 - c) *Each country is required to carry out the quality control procedures for the scoring of the assessment booklets. The quality control procedures will be provided by the STEP Consortium.*
- 4) **Data Editing**
- a) *Each country will perform an edit of its STEP data file in order to identify and resolve errors in the data. Each country is responsible for ensuring that its final data file submitted to the STEP Consortium is error-free'.*
- 5) **Data File Creation**
- a) *Each country's STEP data file will be created according to the International Record Layout (IRL) as specified by the STEP Consortium.*

Rationale

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

Report Requirement

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

9.2.1 Data Capture

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

GSO will use two data entry programs provided by the World Bank: one (written with Excel macros) for the household survey questionnaire, and a second one (provided by ETS) for the literacy module. The World Bank will provide training to the firm's IT team in using both programs. The data entry will be started right after field work of first two or four EAs. After that it will be continued simultaneously together with the field work. From the time a PSU is finished until the data entry begins, we agree to do this in 5 days or less.

Data entry will be done in GSO office

All the data gathered from the field has to be entered but the load on the data entry operators will be different depending on the outcome of the interview. The possible outcomes are (after the required number of re-visits):

1. household refuses the interview - interview ends, but the cover page of the household questionnaire (including location, dates of contact and refusal information) will be filled.
2. household accepts interview, but there are no qualifying adults in the households - cover page, short household roster and the dwelling modules will be filled.
3. household accepts interview, there are qualifying adults, selected adult completes the interview (both household questionnaire and full literacy module).
4. household accepts interview, there are qualifying adults, selected adult completes the interview (both household questionnaire and general booklet, fails the Core)
5. household accepts interview, there are qualifying adults, selected adult starts the interview: completes the full household questionnaire but stops in the middle or refuses to take the literacy module
6. household accepts interview, there are qualifying adults, selected adult starts the interview: does not complete the full household questionnaire but completes the literacy module (either full, or only general booklet if he fails the Core)
7. household accepts interview, there are qualifying adults, selected adult starts the interview: starts the household questionnaire / literacy module, but finishes neither (not expected to be very large percentage of interviews)

Of the situations described above, situation 3 is the most complete and situation 1 requires entering just the basic cover page. Situations 4-7 are in-betweens.

The country's survey team is expected to transmit the collected data weekly to the World Bank, starting with the first week of data collection.

1. The country's survey team should develop a coding strategy in order to ensure each household and each individual who completes the individual questionnaire has a unique code for data entry. Each interviewer, supervisor and data entry person should also have

a unique code which should be recorded for all questionnaires.

2. The start and end time of the whole survey and module by module should be recorded.
3. The cell phone number of the individual respondent should be recorded for possible follow up.

9.2.1.1 Data Capture System Test

The data capture specifications and system will be tested before implementation. The testing of the data capture system will involve a thorough review of the programming specifications prior to the development of the computer programming code, and the subsequent testing of the programs prior to the start of the data capture operation. Testing will be carried out by preparing mock survey instruments (Background Questionnaires and Scoring Sheets), passing them through the data capture system, and then reviewing the resultant data file outputs. Only when satisfactory data capture results are obtained will we commence the capture of the live STEP survey data.

Before officially using the data capture programs provided by WB, GSO will test the programs for data capture at least 2 EAs.

9.2.1.2 Data Capture Verification

Data capture of the Background Questionnaires (paper and pencil) and Assessment scores will be 100% verified. The data capture will be done twice, by two different operators. All differences in the captured data will be resolved.

9.2.2 Coding

Uniform coding of the questionnaire and assessment data is essential.

The coding of all education variables will be done using the country-specific classification of education. The country will provide 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.

Pre-coded response categories on the Background Questionnaire will correspond to the International Record Layout codes.

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

Each respondent's occupation will be coded using the '*ISCO Job Titles*' to 3 digits.

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

All write in responses will be entered into the data set as part of the data entry. Since we are using the STEP-provided DE program, there is provision for all the write-in possibilities. We will later code the responses, and the code set will be provided to the STEP consortium.

9.2.3 Scoring Task Booklets

The assessment instrument will be scored using the Scoring Guides provided by the STEP Consortium.

9.2.3.1 Recruiting and Training Scorers

Recruiting qualified scorers to evaluate responses is crucial to the success of the assessment. The scorers selected will be required to hold at least some post-secondary education. Ten scorers will be hired and trained to score the STEP pilot instruments.

The Chief Scorer is fluent in English and Vietnamese and one other scorer is also fluent in English and Vietnamese.

9.2.3.2 Ensuring Inter-rater Agreement

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

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

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

Consistent performance among scorers is paramount for the assessment to produce meaningful results. Therefore, we will carefully monitor the scoring process, which will result in early identification of problems, and flexibility in training and retraining scorers. According to information from previous literacy assessments, the average percentage of agreement among

the scorers within a country for all open-ended items was 97 percent. The project team feels confident that this same high standard will be maintained for the STEP.

9.2.3.3 Documenting the Scoring Process

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

9.2.4 Creation of International Data File

STEP data will be delivered to the STEP Consortium in a clean data file according to the International Record Layout (IRL) specifications that are provided by the STEP consortium. . To facilitate the creation of this file, data collection has been designed with this final format in mind. Most data fields in the data collection process have been named with the same names as those fields in the IRL file. The response category codes in the Background Questionnaire were pre-coded to correspond to the codes required in the record layout.

9.3 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.

9.3.1 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.

We agree to edit the STEP data file in order to identify and resolve errors in the data according to all the standards mentioned in the NSDPR. We will ensure that the final data

file submitted to the STEP Consortium is error-free'.

9.3.2 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.

I agree with the above,	
EMMANUELA DI GROPELO	Signature:
CHRISTIAN BODEWIG	
NGUYEN DINH CHUNG	Signature:

10.0 WEIGHTING

STEP Standard

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

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

Rationale

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

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

Report Requirement

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

10.1 Weighting Procedures

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

Vietnam will provide the most recent counts of the benchmark variables to the STEP Consortium. These counts are the most recent known population totals for the variables, age, gender, and education. The counts will be from a reliable current source of data such as a recent Census or other recent national survey. If the most current known totals of the benchmark variables are from the sample frame used to select the STEP sample then the benchmark weights will be created using the data from the sample frame.

The benchmark weights will be created based on the known population totals for age, gender, and education using data from the <DATA SOURCE>.

I agree with the above,	
EMMANUELA DI GROPELO CHRISTIAN BODEWIG	Signature:
NGUYEN DINH CHUNG	Signature:

11.0 CONFIDENTIALITY

STEP Standard

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

Each country will submit the international data file to the World Bank STEP team (regional team and core team). Data release beyond these World Bank teams may not be done until 6 months after the submission of the final data files.

Rationale

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

Report Requirement

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

1. Outline Vietnam's data confidentiality requirements

The STEP Survey will be conducted on the authority of the Viet Nam's [Statistical Law 2003](#). 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 Viet Nam's [Statistical Law 2003](#). The Viet Nam's [Statistical Law 2003](#) 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.

In addition, the STEP data collection is subject to the Viet Nam's [Statistical Law 2003](#) and the guidelines from the Viet Nam's [Statistical Law 2003](#), which requires very strict procedures for handling and securing personal data. Data will not be published or delivered in such a way that a respondent's identity can be revealed.

All prospective respondents in the survey will receive an introductory letter that will include information about the use of the data and any linkage to other administrative files. The letter will inform the respondents about their rights under the Viet Nam's [Statistical Law 2003](#), such as the right to revise or delete data and the right to withdraw from the survey at any time. Respondents are informed in the letter that participation in the survey is voluntary. If a

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

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

The survey instruments, the sampling, and the information gathered by the field workers cannot be used for personal or professional goals by the local consultant firm, field workers or the coordinator and advisor without the prior request and an approval by the World Bank. The data collected is completely confidential and shall not be revealed to any source by the firm. The ownership of any information and data belongs to the World Bank.

All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities. A separate form of non-disclosure for the literacy booklets and training and scoring material from ETS is also required.

GSO will submit the international data file to the World Bank STEP team (regional team and core team). Data release beyond these World Bank teams will not be done until 6 months after the submission of the final data files.

I agree with the above,	
EMMANUELA DI GROPELO	Signature:
CHRISTIAN BODEWIG	
NGUYEN DINH CHUNG	Signature:

12.0 QUALITY ASSURANCE

STEP Standard

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

Rationale

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

Report Requirement

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

1. Quality Assurance

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

1) Team Composition

The STEP project team is comprised of experienced, knowledgeable personnel with expertise in the following survey areas: survey management, probability sample design, data collection including interviewer training and non-response reduction, data processing including data capture, coding, and editing, survey weighting and estimation, or data analysis.

The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys:

1. Mr. Nguyen Dinh Chung, responsible for the overall management of the STEP,
2. Mr. Vo Thanh Son, responsible for survey design and implementation,
3. Mr Do Anh Kiem, responsible for the field operations,
4. Ms. To Thuy Hanh, responsible for the processing of the STEP data and the creation of the STEP International Data File.
5. Mr. Nguyen Phong, responsible for the translation/adaptation of all STEP materials.

2) Expert Meetings

The National Project Manager is committed to attending the international meetings deemed necessary by the STEP Consortium. Similarly, other team members will participate in the

international meetings when requested by the STEP Consortium.

3) Survey Instruments

Background Questionnaire

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

A pretest of the Background Questionnaire will be conducted with a non-probability sample of 30 members of the target population.

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

Assessment Instrument

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

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

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

4) Sample Design

A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample will be used. The minimum STEP sample size goal will be exceeded – 2400 completed interviews is planned.

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

5) Data Collection

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

Interviewing Staff

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

Response Rate

- a) A response rate goal of 75-80%,
- b) Survey responses will be monitored throughout the collection activity,
- c) Development and implementation of a contact strategy and a strategy to minimize non-response (described earlier in this report).

1) Data Processing

The following quality assurance procedures are planned:

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

I agree with the above,	
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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 STEP survey is planned for September 2011 to November 2012. The following table provides the planned schedule of tasks.

Table 1: Schedule of activities – STEP Survey	
Activity	Time Period
A. Survey Preparation	September, 2011 – February, 2012
1. Preparation of Sample Design and Weighting Specifications	September – October, 2011
2. Prepare National Survey Design and Planning Report	March, 2012
3. National Household Questionnaire revision	October, 2011 - March, 2012
4. Translation and adaptation of revised survey instruments	January-March, 2012
5. Assessment Booklet composition	February-March, 2012
6. Hiring of Field Staff	January - March, 2012
7. Preparation of interviewer materials and training package	February, 2012
8. Printing of survey materials	March, 2012
9. Sample Selection	March, 2011
10. Preparation of interviewer assignments	February - March, 2012
B. Data Collection	February – May, 2012
11. Interviewer Supervisor Training	April, 2011
12. Interviewer Training	April, 2012
13. Main Survey field collection	May-June, 2012
C. Data Processing	June - August, 2012

14. Scoring	May - June, 2012
15. Data Capture	May - July, 2012
16. Coding	April - July, 2012
17. Weighting	July, 2012
18. Data Editing	June - July, 2012
19. File construction and delivery	August-September, 2012
D. Survey Evaluation	August – November 2012
20. Obtain feedback re survey procedures from staff	August, 2012
21. Review survey procedures	September - October, 2012
22. Preparation of Main Survey Evaluation Report	November 2012

I agree with the above,	
EMMANUELA DI GROPELO	Signature:
CHRISTIAN BODEWIG	
NGUYEN DINH CHUNG	Signature:

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 Vietnam is summarized in the following table:

Budget Estimate – STEP	
Item	Estimated Expenditures *** EDITED ***
1) Contract and Commencement of Work	
2) Translation and adaptation of all survey instrument and accompanying materials	
3) Survey and data entry with the submission	
4) Final report and subsequent approval of authorized purchaser's representative	

I agree with the above,

**EMMANUELA DI GROPELO
CHRISTIAN BODEWIG**

Signature:

NGUYEN DINH CHUNG

Signature: