

National Survey Design Planning Report (NSDPR)
Skills Towards Employability and Productivity (STEP)

THE PHILIPPINES

This Version: September 18, 2015



Table of Contents

Introduction: How to Fill Out the NSDPR	3
PART 1: World Bank Country Team Plan	5
0.1. Time Frame	5
0.2. Rationale for the STEP Survey	Error! Bookmark not defined.
0.3. Country-specific Survey Objectives.....	Error! Bookmark not defined.
0.4. Household Questionnaire.....	6
0.5. Fieldwork.....	7
0.6. Sample Frame and Benchmark Variable Counts	8
PART 2: Survey Firm Plan	9
1.1. Time Frame.....	9
1.2. Project Team	9
1.3. Literacy Assessment.....	18
1.4. Household Questionnaire.....	20
1.5. Field Teams and Training.....	22
1.6. Fieldwork.....	27
1.7. Data Processing	34
1.8. Confidentiality	40
1.9. Quality Assurance.....	42
1.10. Schedule.....	43
1.11. Budget.....	44
PART 3: Sampling and Weighting Plan	45
2.1. Target Population.....	45
2.2. Sample Frame	47
2.3. Sample Size	51
2.4. Sample Design	57
2.5. Sample Selection	59
2.6. Response Rate Goal and Non-Response Bias Assessment	60

2.7. Weighting.....	62
2.8. Sample Frame & Weighting Checklist.....	64
PART 4: Project Implementation Report	66
Appendix	67
Appendix 1. Workflow – Full Literacy Assessment.....	67
Appendix 2. Qualifications and Expertise of Each Key Project Team Member	68
Appendix 3. Survey Firm Experience.....	69
Appendix 4. Training Agenda.....	70
Appendix 5. Supervision Form – Interviewer Evaluation.....	71
Appendix 6. Supervisor’s Guide to Revisits and Activating Reserve Households	72
Appendix 7. Supervision Form – Visual Scrutiny.....	75
Appendix 8. Supervision Form – Check-Up Visit.....	76
Appendix 9. Weekly Report Template (Full Literacy Assessment)	77
Appendix 10. Result Codes.....	78
Appendix 11. Sampling plan.....	80

Introduction: How to Fill Out the NSDPR

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

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

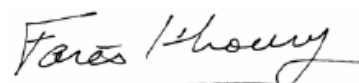
How to fill out the document:

- **Part 1** should be filled out by the World Bank Country Team Task Leader based on exchanges with the World Bank STEP Core Team;
 - **Part 2** should be filled out by the Survey Firm with support from the World Bank STEP Core Team;
 - **Part 3** should be filled out by the Survey Firm with support from the World Bank STEP Core Team's Survey Methodologist.
 - **Part 4** should be filled out by the Survey Firm after fieldwork. This section will be completed with support from the World Bank STEP Core Team.
-
- Elements highlighted in yellow need to be filled out by the World Bank Country Team (Part 1) or the Survey Firm (Parts 2 and 3).
 - The document describes Technical Standards that should be followed during implementation. In some cases, the Survey Firm may propose a deviation from the Technical Standard, which it must then detail and justify. The STEP Core Team will then decide whether or not to accept the deviation. When the column "Deviation Requested" is grayed, the Survey Firm cannot amend the Technical Standard.
 - Comments in italics provide examples or detail the type of information required.

I, Farès Khoury, President, acknowledge having read the National Survey Design Planning Report for The Philippines and will ensure that Étude Économique Conseil (EEC Canada) will comply with the Technical Standards outlined in the present document.

March 20, 2015

Date


Signature

PART 1: World Bank Country Team Plan

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

0.1. Time Frame

<i>Technical Standard</i>	<i>Agreed to by the World Bank Country Team?</i>
The World Bank Country Team will help ensure that a final NSDPR (parts 1 to 3) is submitted to the STEP Consortium at least two months prior to the commencement of data collection for its main survey.	X

0.2. Household Questionnaire

<i>Technical Standard</i>	<i>Agreed to by the World Bank Country Team?</i>
<p>Each country is permitted to insert up to 5 country-specific questions in the Household Questionnaire.</p> <p>The questions and their placement must be confirmed with the STEP Consortium.</p> <ul style="list-style-type: none"> 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. 	<p>N.a.</p>

<i>Information Required</i>	<i>Proposed Country-Specific Questions and Placement</i>	<i>Information Approved by the STEP Core Team?</i>
Country-specific questions:	N.a.	

0.3. Fieldwork

<i>Information Required</i>	<i>Description</i>
1. Public Awareness Campaign Please describe briefly activities for raising public awareness.	N.a. <i>E.g., newspaper articles, announcements in national newspapers and some strategic community papers, radio or TV announcements, posters</i> <i>Consultations with key people, such as educators, government officials, business leaders, etc.</i>
2. Advance Survey Information Please describe briefly the initial method of informing targeted households of the purpose of the survey.	N.a. <i>E.g., advance letter sent to households, distribution of brochures presenting the Survey and its purpose, website</i>
3. Respondent Incentive If applicable, please describe the respondent incentive strategy.	N.a. <i>The strategy should include information on the type of incentive, its cost per unit and the overall cost (i.e., cost per incentive times the target sample size), the criteria for administering the incentive, monitoring/controlling procedures.</i>

0.4. Sample Frame and Benchmark Variable Counts

<i>Information Required</i>	<i>Description</i>	<i>Information Approved by the Survey Methodologist? Date</i>
1. Sample Frame Counts The World Bank Country Team Task Leader will provide the Sample Frame counts that correspond to the sample design units to the Survey Methodologist for weighting.	<i>See Part 3</i> - <i>Sample frame used</i> - <i>Counts of survey units (by stratum if applicable)</i>	
2. Benchmark Variable Counts (if applicable) The recommended benchmark variables are age, gender, and education. The World Bank Country Team Task Leader will provide the pertinent counts of the benchmark variable totals to the STEP Survey Methodologist. Benchmark variable counts may be required to adjust the basic population weights to more recent known population totals (e.g., an updated Sample Frame) or more reliable known population totals from a source other than the Sample Frame (e.g., National Census of Population, National labour Force Survey, etc.)	<i>See Part 3</i> <i>File Source of Benchmark Variable Counts</i>	

PART 2: Survey Firm Plan

This section will be filled out by the Survey Firm.

1.1. Time Frame

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
The Survey Firm will submit a final NSDPR (parts 1 to 3) to the STEP Consortium at least two months prior to the commencement of data collection for its main survey.	<input checked="" type="checkbox"/>

1.2. Project Team

The information provided in this section can be drawn from the Technical Proposal

1.2.1. Qualifications and Expertise of the Survey Institute

1. Identify the Leading Survey Institute

<i>Name</i>	Etude Economique Conseil (EEC Canada)
<i>When was the survey institute founded?</i>	1981
<i>Owner</i>	Privately held, Fares Khoury
<i>Headquarters' address</i>	4124 A St-Catherine West, Montreal, Quebec, Canada, H3Z 1P4
<i>Contact information</i>	Farès Khoury, President, fkhoury@eecgroup.com

2. Identify Key Project Team Members

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

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

Table 1: Key STEP Project Team Positions and Functions

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

- a) Provide a four-line overview of the qualifications and expertise of each key project team member (please attach their Curriculum Vitae in **Error! Reference source not found.**)

Farès Khoury, Project Director

In the last 37 years, Mr. Khoury has led or supervised a very large number of studies and mandates on behalf of numerous private and public clients, in more than 130 countries. As advisor, supervisor or project director, his contribution is mainly to stimulate the thinking of the project's team regarding the understanding of the problems at hand, to ensure a dynamic perspective of the analytical approach and its relevancy toward the situations specificities and the clients' concerns, to address non-standard methodological issues and to optimize the full analytical potential of available information in terms of relevant results. In the past 60 months alone, he directed 107¹ multi-country complex² surveys³ and other mandates.

¹ Of which 41 Investment Climate Surveys, 12 Productivity and Innovation Surveys, 4 on Microcredit Impact Assessment, 17 on the Trucking Industry, and 12 were on Gender: origin of ownership and management styles and approaches, 3 on Barriers to Regional Integration, 3 on Foreign Direct Investment, 10 on Skills Development & Labor, 4 on Financial Capacity and Consumer Protection, 1 on Export Processing Zones.

² 46 of the 107 surveys had panel components, delivered by EEC Canada with minimal attrition covering between 70% and 85% of *existing* respondents of previous surveys.

Saïd Chahoua, Project Statistician

Mr. Chahoua is a Statistics Engineer and a holder of a Masters Degree in Demography with 30 years experience. He has a strong command of econometric analysis, and full proficiency in large data bank processing as well as in survey methodology. He has demonstrated his skills in analysing, modelling and interpreting economic phenomena, particularly with regards to development topics. His academic background and his working experience have further increased his proficiency in statistical and econometric software such as ACCESS, SPSS and STATA

Chris Clark, Data quality manager

Mr. Clark has 11 years experience at EEC Canada consulting in private sector development and related policy issues, as well as over 10 years experience in the information technology field, mostly as an independent consultant. Over the course of his career, both at EEC and elsewhere, he has developed many data entry applications as well as defining validation and quality assurance procedures and tests to accompany them. He has a deep understanding of accounting achieved through design and implementation of many customized accounting computer programs.

Isabelle Leyder, Back- stopping Logistics Manager

During the last 18 years, Ms. Leyder participated and directed numerous evaluations and institutional strengthening mandates for EEC's clients, including for the STEP Skills Household Survey in Kenya. In EEC's projects for both the World Bank and the Inter-American Development Bank, Ms. Leyder reviewed the wording of questionnaires to better define or delineate with precision the data required to address specific analytical issues. She has also managed the back-stopping logistics aspects of numerous surveys conducted notably in Africa, acting in most surveys as an interim head-quarters project director, coordinating with efficiency in excess of 25 complex surveys, including employees or household surveys.

Richard Ibghy, Country manager

Richard Ibghy has been a consultant with EEC Canada for over twenty years. With EEC Canada, Mr. Ibghy has worked on several mandates including the STEP Skills Household Survey in Kenya for which he was Country Manager of the survey, and during which he participated in the training at headquarters, in DC and at Princeton, on the STEP survey protocols. Mr. Ibghy has developed a wide sector experience on public policy questions as they apply to a variety of sectors including cultural industries (film and video, book and periodical publishing, sound recording and the performing arts). He has also been involved with success in designing strategic orientations, as well as conducting institutional and program evaluations for public and private organizations.

Zied Naffouti, Country manager

Mr. Naffouti has actively participated in several surveys mainly for EEC's clients such as the World Bank and the Inter-American Development Bank. Among these surveys, Mr. Naffouti worked extensively in the STEP Skills Household Survey in Kenya, the Investment Climate Survey and the Trucking

³ In each country EEC Canada recruited, trained and managed between 30 and 250 enumerators, most of which had an economic or accounting degree at graduate or post-graduate levels. Of the more than 3,700 professionals who were trained by EEC Canada, *approximately 100 were retained on a permanent basis mostly from developing countries*, all geographically mobile and fully trained and experienced in survey implementation.

survey at many levels, including preparation of questionnaires, preparation of lists, recruitment, training and supervision of local enumerators, conducting interviews, questionnaire /data validation and development of coherence tests. This work has been developed for several countries in Africa and in the Caribbean countries.

Nicolas Megelas: Country Manager

Mr. Megelas is an experienced professional with strong analytical acumen, a background in strategic consulting and finance, and a master in business administration. He has participated in leading the EEC Canada team, first as assistant-country manager and then country manager in various World Bank surveys, including the STEP Skills Household Survey in Kenya, and EEC's HH survey in The Philippines, and has extensive experience and ability to work for clients in both the private and public sector. He has worked on the field in African, MENA, ASEAN, as well as European countries, in different types of projects ranging from financial literacy to skills assessments.

Yamina Tabti: Country Manager

Ms. Tabti is an experienced professional with a background in consulting services in management, economics and data analysis. She has participated, both as country assistant manager and country manager, in World Bank surveys as well as for EEC Canada's private clients. She has been involved in the field, in several African, MENA countries as well as Eastern European countries. She has extensive research skills, has a clear interest in both economics and development, has compiled many different types of databases, and is familiar with a range of statistical programs such as Minitab, SPSS, and SAP.

Roksana Bahramitash: Assistant Country Manager – Analyst - Coder

Dr. Bahramitash has more than 20 years of experience as senior advisor, consultant, researcher, university lecturer, and principle or co-principle investigator of action (policy) researcher. She has worked with various international development organizations such as the Canadian International Development Agency CIDA, the UNDP as well as the World Bank. She is the winner of many awards and numerous research grants by multi-lateral organizations such as the Economic Research Forum in Cairo and the African Development Bank for research on women's employment and entrepreneurship in the MENA Region (and Turkey).

Cécile Famerée: Assistant Country Manager – Analyst -Coder

Ms. Famerée, is currently a PhD candidate in development studies. With over 10 years of experience in consulting, Ms. Famerée has done fieldwork studies throughout Latin America with particular focus on access to resources of indigenous persons. Ms. Famerée joined the EEC Canada's team a year ago and has been actively involved in EEC Canada's surveys on data control and tools development, notably in the 2014 World Bank Georgia SME Financial Capability - Focus Group Discussions project and the 2013 Compete Caribbean and Inter-American Development Banks's Productivity, Technology, Skills and Innovation enterprise Survey in the Caribbean (13 countries).

Lina Wedefort: Assistant Country Manager – Analyst - Coder

Ms. Wedefort holds a Bachelor of Science in Engineering and has completed her academic career with a double Masters Degree of Science in Economics. With over 10 years of experience in consulting, Ms. Wedefort has participated in several EEC Canada mandates requiring data analysis, notably on Global Payment Systems, productivity analysis on firms in 13 Caribbean countries, and on the trucking sector in Haiti. Most recently, she has conducted fieldwork in Haiti and the Dominican Republic to collect data on the transportation sector. For the purpose of this project, she will apply her expertise in qualitative and quantitative analysis as the survey unfolds and data is captured.

Atena Sadegh: Group Coordinator – Analyst - Coder

Atena Sadegh, holds a Masters degree in Public and International Affairs. She joined the EEC Canada's team a year ago where she has participated in several projects in EEC Canada's surveys on data control and tools development, notably including the 2014 World Bank Georgia SME Financial Capability- Focus Group Discussions project and the 2013 Compete Caribbean and Inter-American Development Banks's Productivity, Technology, Skills and Innovation enterprise project in the Caribbean.

Salem Zarifa: Group Coordinator – Analyst - Coder

Mr. Zarifa has been with EEC Canada for several years where he participated in numerous surveys and studies, both in the field and at headquarters, including the STEP Skills Household Survey in Kenya, as well as studies in various Spanish-speaking countries and in Africa. Notably in the 2010 Inter-American Development Bank's Caribbean Investment Climate survey in 14 countries, and its follow-up in 2012 as well as the World Bank's Central America trucking survey in 2011. He took an active part in the questionnaires preparation, programing the data entry programs; compiling and merging sample lists of respondents and in the recruiting phase of the implementation phase, conducting interviews with general managers, validating questionnaires/data and developing guides for coherence tests.

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

For those who will not work full time on the STEP survey, please indicate the amount of time and the periods during which they will work on the project.

Nobody will work full time on the STEP survey for the ENTIRE duration of the survey, but the top tier of the project team, namely Fares Khoury, Said Chahoua, Chris Clark, and Isabelle Leyder will spend at least between half an hour to an hour and a half DAILY on the project, to ensure its proper planning and implementation; as they do of all ongoing surveys. In a similar manner, there will be a continuous presence of 120 days from the group of this project's country managers, or assistant country managers, to ensure the proper implementation of the survey (as was the case in the Kenya STEP survey, led by EEC Canada). In addition, at the end of the survey, the scoring will be executed by the professionals most involved with the project, as was the case for Kenya, EEC Canada would mobilize the group of assistant-country managers, and group coordinators to conduct the scoring, under the supervision of a country manager that would have been sent to the training (or refresher training).

EEC CANADA STAFF	TOTAL DAYS		
Function	Field	HQ	Total
Project Director	0	20	20
Project Statistician	0	10	10
Data Manager	0	50	50
Logistics Manager	0	10	10
Country Managers (and Alternate Country Managers) ⁴	40	10	50
Assistant Country Managers - Coders ⁵	60	10	70
Group Coordinators - Analysts ⁶	0	20	20

c) Include firm experience as well as names and types of surveys conducted. SEE APPENDIX

1.2.2. Project Structure

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

⁴ EEC Canada will devote several resources to act as Country Manager and Alternate Country Manager (totalizing 40 field days and 10 days at the headquarters) in order to ensure the seamless progress during the entire duration of the project.

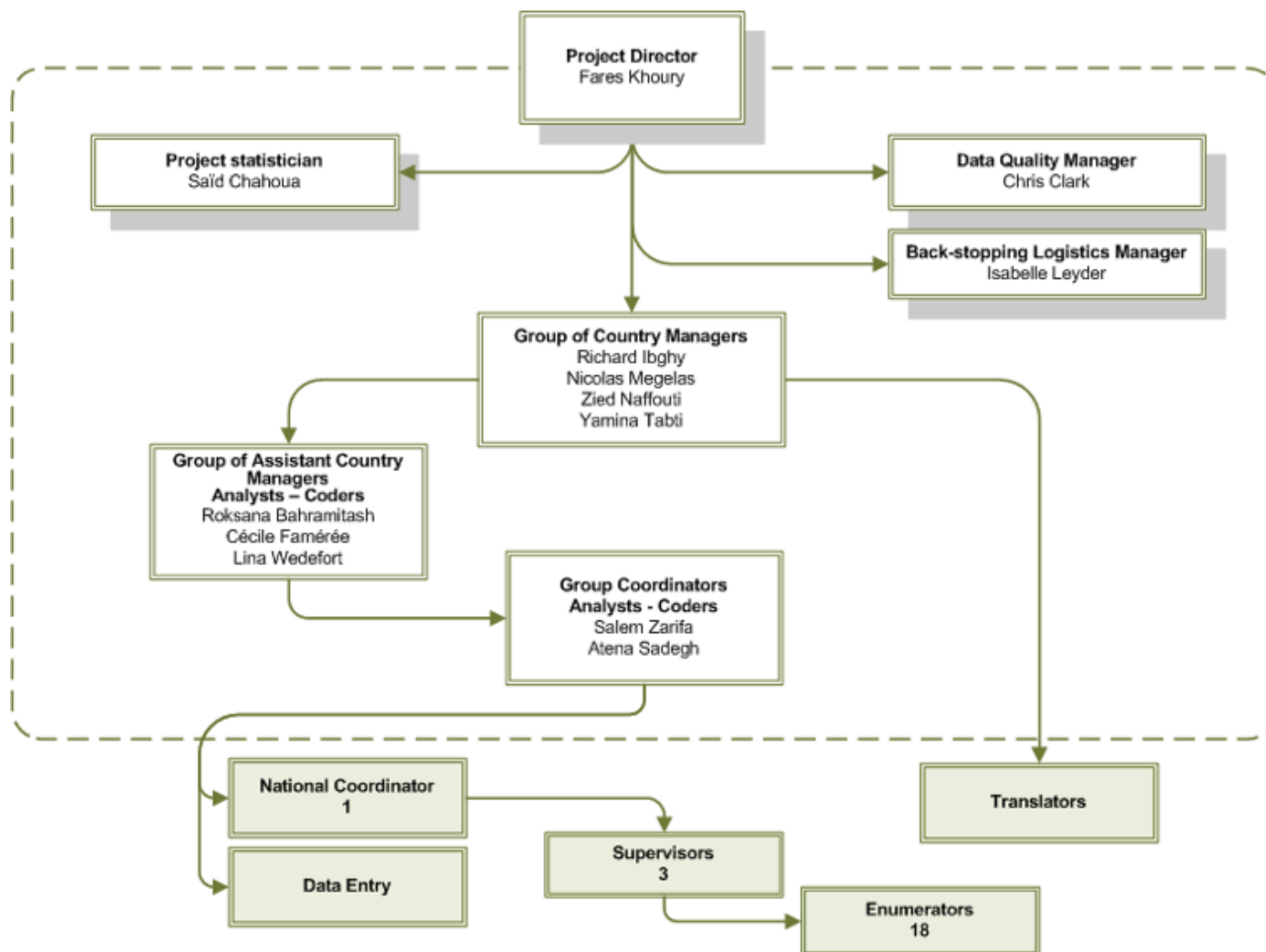
⁵ EEC Canada will devote several resources to act as Assistant Country Manager (totalizing 60 field days and 10 days at the headquarters) in order to ensure the seamless progress during the entire duration of the project.

⁶ EEC Canada will devote several resources to act as Group Coordinator (totalizing 20 days at the headquarters) in order to ensure the seamless progress during the entire duration of the project.

EEC Canada's CORE Technical/Managerial Staff		
NAME	POSITION	TASK
FARÈS KHOURY	Project Manager	Responsible for the management of the project
SAÏD CHAHOUA	Project Statistician	Responsible for sampling, weight determination and other statistical tasks
CHRIS CLARK	Data Manager	Responsible for data entry programming, data entry supervision, overall data quality control and cleaning of data
ISABELLE LEYDER	Backstopping Logistics Manager	Responsible for back-stopping the field survey management team
ZIED NAFFOUTI RICHARD IBGHY YAMINA TABTI NICOLAS MEGELAS	Country Managers	Overall responsibility for the implementation of the project in the country
ROKSANA BAHRAMITASH CÉCILE FAMERÉE LINA WEDEFORT	Assistant Country Managers – Analysts - Coders	Responsible for supporting the Country Manager in the implementation of the project in the country – Scoring of booklets – Analysis of results
SALEM ZARIFA ATENA SADEGH	Group Coordinators- Analysts - Coders	Responsible for supporting the Assistant Country Manager in the implementation of the project in the country – Scoring of booklets – Analysis of results
NATIONAL STAFF	National Coordinator	Supporting the Country Manager, the Assistant Country Manager or the Group Coordinators in various logistical tasks related to survey implementation

NATIONAL STAFF	Supervisors	Support to the Group Coordinator, covering the follow-up of enumerators on their daily activity.
NATIONAL STAFF	Enumerators	Conduct the interviews
NATIONAL STAFF	Translators	Translate the material as required and in line with the methodology accepted by the CORE STEP team
NATIONAL STAFF	Data entry operator (only if needed for the PAPI when required)	Enter data post verification conducted by the supervisor monitored by the corresponding Group coordinator.

STEP SKILLS MEASUREMENT STUDY – THE PHILIPPINES



1.3. Literacy Assessment

1.3.1. General

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
The participating country may choose to implement either the Partial or the Full Literacy Assessment.	FULL LITERACY ASSESSMENT
However, the chosen assessment design must be administered as prescribed by the STEP Consortium.	YES
The General Booklet comprised of the Reading Components (Part A) and the Core Literacy Items (Part B) will be administered to each selected person.	YES
The Survey Firm will provide each interviewer with a stopwatch to time the Reading Components exercises in the General Booklet.	YES /or integrated in the CAPI
<u>For Full Literacy Assessment only</u> Subsequent to the completion of the General Booklet, for those respondents with 3 or more correct answers for the Core items, one of the four Exercise Booklets will be randomly selected to be administered to the respondent. The literacy 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.	YES
The Interviewers will be trained to administer the assessment according to the instructions provided by the STEP Consortium.	YES
The Literacy Assessment will be administered in the following language(s): - ENGLISH - FILIPINO (TAGALOG)	YES

1.3.2. Translation and Adaptation of Literacy Materials

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Language 1 Name of Translators</i>	<i>Language 2 (if applicable) Name of Translators</i>
Participating countries are responsible for the cultural adaptation and translation of the literacy material:			
a. <u>ETS translation and adaption guidelines</u> : The translation and cultural adaptation of the assessment items will be carried out according to the translation and adaptation guidelines prepared by ETS	YES		
b. <u>Translation</u> will be carried out by two independent translators followed by reconciliation by a third translator	YES	TBD	TBD
c. <u>Translation and cultural adaptation verification</u> : Check, sentence by sentence, of linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in the <i>Verification Follow-Up Form</i>	YES		
d. <u>Layout</u> : national assessment booklets will be modeled after the master assessment booklets provided by the STEP Consortium	YES		
e. <u>Layout verification</u> : Final optical check to verify the final layout of the instruments after adaptation and translation verification	YES		
f. Each participating country will submit its translated literacy booklets in each of its STEP reporting languages along with the <i>Verification Follow-Up Form</i> to the STEP Consortium for verification and approval.	YES		
The Literacy Assessment Booklets will be printed <i>according to the printing instructions provided in the document 'STEP_Paper_Booklet_Printing_Specifications.doc'</i> . In particular:			
a. The booklets are currently in PDF format and should be opened in and printed from Adobe Acrobat.	YES		
b. The assessment booklets must be printed (NOT photocopied) so that each page of the final printed booklets is either a letter-size page or an A4-size page.	YES		
c. To ensure that the stimulus and its associated questions face each other, the booklets must be saddle-stitched <u>or</u> stapled in the middle so the booklet can lie flat	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Language 1 Name of Translators</i>	<i>Language 2 (if applicable) Name of Translators</i>
when opened d. The booklets must be printed on paper that is 60 lb or more (at least 70 gsm)	YES		

1.4. Household Questionnaire

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
Each participating country will implement the Household Questionnaire prescribed by the STEP Consortium	YES		
1. Translation of the Household Questionnaire The Household Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Consortium. These guidelines include: <ul style="list-style-type: none"> ▪ A double translation by two independent translators and reconciliation by a third translator ▪ Translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in a document that will be sent to the STEP Core Team ▪ Reconciliation of the first two translations will be done in close collaboration with a senior member of the survey team who has a strong command of English and who is involved in the survey piloting and fieldwork ▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator ▪ If the Household Questionnaire is administered in several languages, the above procedures will be followed for the translation of the Household Questionnaire in each language 	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
2. Translation of all Survey Materials (with the exception of the questionnaire) All Survey Materials will be translated based on guidelines provided by the STEP Consortium.	All supervisors and enumerators are fluent in English and Filipino (Tagalog)		
The Survey Materials include: <ul style="list-style-type: none"> The Interviewer and Supervisor Manual, which will be translated by a qualified translator 	YES		
<ul style="list-style-type: none"> The Operation Manual, which will be translated by a qualified translator 	YES		
<ul style="list-style-type: none"> The PowerPoint Presentations for the interviewers' training, which will be translated by a qualified translator 	YES		
<ul style="list-style-type: none"> The Test and Answer Sheets for the interviewers' training, which will be translated by a qualified translator 	YES		
<ul style="list-style-type: none"> The Brochure presenting the STEP Survey, which will be translated by a qualified translator 	YES		
<ul style="list-style-type: none"> If the Household Questionnaire is administered in several languages, the Materials listed above will be translated as needed 	YES		
3. Health Module <ul style="list-style-type: none"> The Survey Firm will provide Interviewers with measuring tapes to measure individual respondents' height Interviewers should measure individual respondents during the interview, and only record self-reported height as a last measure 	YES YES, if accepted by respondent		
4. Pilot Survey The Household Questionnaire will be pre-tested according to the STEP Consortium requirements and as specified below:			
<ul style="list-style-type: none"> Finalized questionnaires will be tested in a pilot test of 20-30 households 	YES		
<ul style="list-style-type: none"> <i>Sample:</i> 			

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
- half from low-income households and half from medium/high income households	Piloted HHs will be chosen from a variety of areas to get a range of economic levels		
- households will be <u>selected in areas that do not form part of the sample of the main survey</u>	YES		
<ul style="list-style-type: none"> The pilot test will be administered by the main trainer(s) for the interviewer training and will involve 5-6 senior persons The Household Questionnaire training by the main trainer(s) for the 5-6 senior persons will last at least 2 full days 	YES YES		
<ul style="list-style-type: none"> Data collected during the Pilot Survey will be entered through the Data Entry Program 	YES		
<ul style="list-style-type: none"> Submit a 5-10 page report to the WB including recommendations for any changes in implementation or questionnaire translation, etc 	YES, if applicable		

1.5. Field Teams and Training

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
1. “Train the Trainer” Training in Washington DC The following members of the Project Team should attend the “Train the Trainer” Training organized in Washington DC: <ul style="list-style-type: none"> Head Trainer Chief Scorer for the literacy assessments Field Manager 	YES	Valerie Evans came to EEC Canada headquarters from May 19 th to 22 nd 2015 to deliver the “Train the Trainer” session.	
2. Interviewer and Supervisor Hiring Plan			
<ul style="list-style-type: none"> Interviewers’ Qualifications Interviewers and Supervisors should at minimum be high school 	YES	All enumerators and supervisors have/will have at	

Technical Standard	Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Core Team?																		
graduates		least a university degree																			
<div>▪ Number of interviewers and Supervisors</div> <table><tr><td>Target Sample</td><td>HHs/PSU</td><td>HHs per enumerator per week</td><td>HH per team of 3 per week</td><td>Duration of Survey (weeks) – according to TORs</td><td>Enumerators</td><td>Supervisors</td><td>Coders</td><td>Total</td></tr><tr><td>3000</td><td>15</td><td>12</td><td>36</td><td>16</td><td>18</td><td>3</td><td>3</td><td>24</td></tr></table>				Target Sample	HHs/PSU	HHs per enumerator per week	HH per team of 3 per week	Duration of Survey (weeks) – according to TORs	Enumerators	Supervisors	Coders	Total	3000	15	12	36	16	18	3	3	24
Target Sample	HHs/PSU	HHs per enumerator per week	HH per team of 3 per week	Duration of Survey (weeks) – according to TORs	Enumerators	Supervisors	Coders	Total													
3000	15	12	36	16	18	3	3	24													
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	See table above																				
<div>▪ Method of payment</div> <div>Interviewers’ remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a per piece basis.</div>	TBD	Remuneration is defined in relation to effectively and verified completed questionnaires, no incentive for speed – but no remuneration simply for time spent																			
3. Interviewer Training Plan																					
<div>▪ Training dates</div>	For pilot purposes, a small group of enumerators will be trained during the third or last week of June																				
<div>▪ Fieldwork must start within 4 days of finishing training</div>	YES	Piloting will start immediately after training.																			
<div>▪ Location of the training</div> <div>Please note that the interviewers’ training should take place in</div>	YES, location TBD																				

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
one 10-day session in one location (for each language).			
<ul style="list-style-type: none"> Trainees should be split into training rooms of not more than 30 per room. 	YES	Training will be held in groups of max 20 interviewers per class	
<ul style="list-style-type: none"> There should be a trainer and assistant trainer in each training room, and a technical support person for each three training rooms. 	YES		
<ul style="list-style-type: none"> There should be supplemental after hour sessions available for trainees who want more practice, or who have been identified in training as needing help. 	YES		
<ul style="list-style-type: none"> Training staff should hold daily debriefing sessions to discuss progress, problem trainees and any technical or administrative issues that have been flagged during the day. 	YES		
<ul style="list-style-type: none"> Training will be based on material provided by the STEP Consortium and translated by the Survey Firm 	YES		
<ul style="list-style-type: none"> The training plan will follow the agenda attached in Appendix 4, including the supervisor training sessions once team supervisors are selected 	YES		
<ul style="list-style-type: none"> Training will consist of 10 full days of combined classroom training and field training. Field practice will include, for each trainee, at least two households and two selected individual interviews. 	YES	For pilot purposes, training of a small group of more qualified enumerators will likely last about 5 days, but will last longer if need be, to ensure all materials are well understood.	
<ul style="list-style-type: none"> The number of trainees should be at least 30% greater than the required number of interviewers, as only the best trainees will be retained after the training 	YES, AND ONLY ENUMERATORS AND SUPERVISORS THAT		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	UNDERSTAND THE MATERIAL WILL BE ALLOWED TO IMPLEMENT THE SURVEY. Follow-up materials such as test scores will be provided.		
<ul style="list-style-type: none"> ▪ Trainers <ul style="list-style-type: none"> - Head Trainer(s): <i>Name(s), education level and whether they attended the “Train the Trainer” session in Washington DC</i> - Assistant Trainers: <i>Names, education level and whether they attended the “Train the Trainer” session in Washington DC</i> 	Head trainers: Richard Ibghy Zied Naffouti Nicolas Megelas Yamina Tabti Assistant trainers: Roksana Bahramitash Cecile Fameree Lina Wedefort Atena Sadegh Salem Zarifa		
<ul style="list-style-type: none"> ▪ Training Evaluation Report: the Survey Firm will send the STEP Consortium a one-page training report including the following information, within one week of the end of training: <ul style="list-style-type: none"> - List of trainees (names) - List of trainees’ marks - List of selected interviewers - List of selected supervisors 	A list of selected interviewers and supervisors, with their codes in the survey database will be provided, with their grade during the training.	As per the technical offer of services we will provide the final list of enumerators and supervisors retained for the survey.	

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	at the end of the survey		
<ul style="list-style-type: none"> ▪ If the first reports from the fieldwork reveal a lack of understanding of some sections of the questionnaire, the firm will retrain all field staff on these sections 	If retraining is required we will deliver it to all those concerned.		

1.6. Fieldwork

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
1. Household Listing			
<ul style="list-style-type: none"> The Survey Firm will undertake a door-to-door listing of households in each selected PSU <i>Please specify whether a dedicated listing team will conduct the door-to-door listing or whether it will be done by the interviewer teams as they arrive in the PSU</i> The Survey Firm will provide the STEP Consortium an Excel spreadsheet with the total number of households listed in each of the selected PSUs. The Survey Firm will keep the complete household listings in each PSU ready for verification by the STEP Consortium and provide any list that is requested. 	<p>YES, listing will be carried out by the enumerators and supervisors</p> <p>YES, AS PER THE DELIVERABLE SCHEDULE</p> <p>YES, AS PER THE DELIVERABLE SCHEDULE</p>		
2. Method of Data Collection			
<ul style="list-style-type: none"> Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method. 	<p>All interviewers will be trained in both PAPI & CAPI, they will have paper copies with them of the questionnaire and, if any issue occurs with the handheld device, they will use the paper version of the questionnaire</p>	<p>CAPI WILL BE USED FOR THE QUESTIONNAIRE ONLY, NOT THE LITERACY ASSESSMENT PORTION</p>	

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> All components of the Literacy Assessment must be administered in the same visit (i.e., General Booklet and if applicable Exercise Booklet) 	YES		
<ul style="list-style-type: none"> Proxy responses are not permitted for the individual questionnaire and the Literacy Assessment booklets. Furthermore the selected person must complete the assessment booklet(s) without assistance. 	YES		
3. Minimizing Non-Response Rates <ul style="list-style-type: none"> A minimum response rate of 70% is the goal. PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES <p>In particular:</p> <ol style="list-style-type: none"> If a selected person is temporarily unavailable to be interviewed, 3 follow-up attempts must be made to contact the selected person before classifying the case as a non-response Contact attempts subsequent to the first attempt will be made at different times of the day and different days of the week If the Interviewer is unable to gain the cooperation of a selected individual, the case will be referred to the interviewer's Team Supervisor who will attempt to convert such cases to completed interviews <ul style="list-style-type: none"> Non-Response Bias Assessment <ol style="list-style-type: none"> Each participating country is responsible for assessing the bias due to non-response and reporting the findings to the STEP Consortium who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. (See 	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>additional information in section 3.2).</p> <p>ii. It is therefore critically important to make every effort to minimize the non-response rate and the resulting potential bias.</p>	YES		
<p>4. Activating Reserve Samples</p> <ul style="list-style-type: none"> ▪ The process through which a reserve household may be activated is described in the Interviewer and Supervisor Manual. ▪ In the case of non-contact and temporary absences, at least 3 follow up visits, over a minimum of 3 days after the initial visit and at varying times on those days, must be made to try to find the household or individual respondent. ▪ If there will be any interview team in the vicinity of the households with whom there has been no contact or that are temporarily absent, revisits should continue to be made and no reserve household activated until 2 weeks before the last team leaves the area. 	<p>YES</p> <p>YES</p> <p>YES</p>		
5. Field Supervision			
<p>5.1. Team Supervisors</p> <ul style="list-style-type: none"> ▪ Each interviewer team will report to a Team Supervisor 	YES, AND TEAM MEMBERS WILL ROTATE TO AVOID COLLUSION		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> ▪ Team Supervisors' responsibilities include: <ul style="list-style-type: none"> - Coordinating fieldwork in each assigned PSU - Full-time work with the interviewer team and on-going monitoring of each interviewer's work - Documenting non-response, activation of reserves, problems encountered - Assigning literacy booklets - Communicating regularly with the Field Manager - Selecting households to be interviewed following procedures outlined in the Technical Standards (if selection will be done in Headquarters, please specify) 	YES YES YES YES YES YES		
<u>Quality control by Team Supervisors:</u> <ul style="list-style-type: none"> - At least one meeting per week with each interviewer to discuss progress and/or problems - Random spot visits during interviewers' work to observe household and individual interviews. For each interview observed, Team Supervisors will fill out the <i>Interview Evaluation Form</i> (Appendix 5) - Check each accepted questionnaire for completeness and accuracy, and fill out <i>Visual Scrutiny Form</i> for each questionnaire (Appendix 7) - Submit household listings and sample selections to the Project Manager - Follow-up of non-response households/ individuals according to the table in Appendix 6 which details the revisits required for each situation and whether a reserve household should be activated 	YES YES YES YES YES		
<ul style="list-style-type: none"> - Visit verification and selection of individual respondent 			

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>verification: The Supervisor or Field Manager (or assistants) will revisit 10% of each interviewer's finalized cases. In the event that a respondent is not available during the initial follow-up visit, a telephone follow-up may be carried out for no more than one third of the revisits.</p> <p>The households to revisit will be selected randomly by the Field Manager.</p> <p>During each revisit, the Supervisor will complete a <i>Check up Visit form</i> (Appendix 8).</p> <p>The Fieldwork Manager should participate with the Team Supervisor in some of these revisits, unannounced, with households chosen by the Field Supervisor, in order to check on the Team Supervisors.</p> <p>The STEP Consortium may also ask to attend verification revisits, and randomly choose the Households to revisit.</p>	<p>YES</p> <p>YES</p> <p>AS PER THE TORS</p> <p>YES</p> <p>YES</p> <p>YES</p>		
<p>5.2. Field Manager/ Regional Field Managers</p> <ul style="list-style-type: none"> ▪ The Field Manager is responsible for the entire data collection/ fieldwork of the survey 	YES		
<ul style="list-style-type: none"> ▪ The Field Manager's responsibilities include: <ul style="list-style-type: none"> - Setting up the field structure, with Regional Fieldwork Managers if required. <i>Please briefly explain the field reporting structure</i> 	YES, Field reporting daily, by cell phones and emails when possible.		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> - On-going monitoring of fieldwork - Communicating regularly with Project Manager 			
<u>Quality control by Field Manager/ Regional Field Managers:</u> <ul style="list-style-type: none"> - Frequent communication with interviewer Team Supervisors to discuss progress and/or problems - Random spot visits to PSUs to observe progress, proper filling of forms, the supervisor's follow-up of non-response households/ individuals, etc. - For each team, select the households to be revisited by the Team Supervisor to check for proper interviewing (or transmit the selection done at Headquarters) - The Fieldwork Manager should participate with the Team Supervisor in some of these revisits, unannounced, in order to check on the Team Supervisors 	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>		
5.3. Interviewer Performance In the event an interviewer's work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone	YES		
5.4. Communication <i>Please indicate the methods through which the staff will be communicating during fieldwork. E.g., scheduled daily/weekly telephone calls, e-mail of supervisors</i>	Daily, by cell phones and emails when possible. Data collected will be uploaded continuously and allow a quick turnaround in case of errors or quality issues		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
6. Fieldwork Monitoring by STEP Consortium			
▪ Weekly Report			
- The STEP Consortium will provide a Weekly Report template to the survey firm (see Error! Not a valid result for table.)	YES		
- Each participating country will send a Weekly Report to the STEP Consortium during data collection	At most a bi-weekly report will be provided, or less frequently if no changes		
- Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.	YES		
▪ Verification of Fieldwork			
- The Survey Firm will keep Supervisor Forms readily available for random checks by the STEP Consortium. The Supervisor Forms are provided in the Operation Manual and in the Interviewer and Supervisor Manual and comprise a <i>Visual Scrutiny Form</i> for the questionnaires, an <i>Interviewer Evaluation Form</i> and a <i>Check-up Visit Form</i> .	Yes, they can be randomly checked as soon as we receive them, as during the on-going phase, the forms are likely to be with the supervisors in various locations of the survey		

1.7. Data Processing

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
1. Data Capture and Verification Plan a. General <ul style="list-style-type: none"> Each country's STEP data file will be created according to the Variable Convention provided by the STEP Consortium. The STEP Consortium will provide two Data Entry Programs: <ul style="list-style-type: none"> one for the household survey questionnaire and a second one for the literacy module. The STEP Consortium will provide training on the use of both programs to the country's IT team 	<p>YES</p> <p>EEC Canada is developing and adapting its STEP-CAPI program to enable interviewers to code responses directly into small notebook computers or tablets as appropriate. YES FOR THE LITERACY MODULE</p> <p>YES</p>		
<ul style="list-style-type: none"> Training of the Data Entry persons: they should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work 	YES		
<ul style="list-style-type: none"> There will be a 3-day training session on the Data Entry program at the end of the interviewer training <i>Please provide the name of the trainer</i> 	ALL SURVEY STAFF FROM OUR HQ ARE REGULARLY TRAINED by Chris Clark ON DATA ENTRY REQUIREMENTS		
<ul style="list-style-type: none"> Please provide the name of the person responsible for Data Entry and Management as well as the number of people assigned to Data Entry 	Chris Clark is responsible for data management and oversight.		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
b. Data Entry Program for the Household Questionnaire <ul style="list-style-type: none"> ▪ The Survey Firm will use the Data Entry Program provided by the STEP Consortium, which is based on a custom-written Excel macro and features data capture screens mirroring the questionnaire pages. ▪ Each country must key-enter the ‘write-in’ entries from the response category “Other”. Please specify for all questions where this category was selected. ▪ The Survey Firm will use the Variable Convention provided by the STEP Consortium to name and code the variables 	EEC Canada is developing and adapting its STEP-CAPI program to enable interviewers to code responses directly into small notebook computers or tablets as appropriate. YES YES		
c. Data Entry Program for the Literacy Modules <ul style="list-style-type: none"> ▪ The Survey Firm will use the Data Entry Program provided by the STEP Consortium ▪ The Survey Firm will use the Code Book provided by the STEP Consortium 	YES YES		
d. Data Entry of Incomplete Cases <ul style="list-style-type: none"> ▪ The Survey Firm will provide the STEP Consortium with a data file containing a data record for each sampled household, both initial sample cases and reserve sample cases. ▪ The file must include the following minimum information, <ol style="list-style-type: none"> the sample identification number from the original sample file, a final result code for each sampled case – this includes cases where an interview was obtained as well as cases that did not yield an individual interview, i.e., non-response cases and non-activated reserve households ▪ This data file will be based on the <i>Sample Tracking Forms</i> filled out during fieldwork 	YES YES YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
e. Data Capture Verification <ul style="list-style-type: none"> Data capture of the household questionnaire and literacy modules will be entirely verified through double data entry Data will be captured twice, by two different operators All differences in the captured data will be resolved by the second data entry operator, using the STEP-provided data entry program, which flags differences 	EEC Canada is developing and adapting its STEP-CAPI program to enable interviewers to code responses directly into small notebook computers or tablets as appropriate. This will not allow double data entry, though we will comply with the required double data entry of literacy scores and PAPI questionnaires		
f. Timeframe <ul style="list-style-type: none"> The data entry will start no longer than 5 days after the start of the fieldwork, so that information from the data entry can inform the process of the survey 	YES		
<ul style="list-style-type: none"> The country is expected to transmit the first week of data within two weeks of the start of the fieldwork and the second week of data within the first three weeks of fieldwork 	As per TORs		
2. Tracking Respondents' Sample Identification Number <ul style="list-style-type: none"> Each household and each individual who completes the individual questionnaire should have a unique code for data entry Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires A field for recording the respondent's Sample Identification 	YES YES YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>Number is required on all survey instruments (i.e., Household Roster, Household Questionnaire, General Booklet, and Exercise Booklet if applicable) and any pertinent supplementary material</p> <ul style="list-style-type: none"> Countries must assign a unique booklet ID (serial number) to each prepared assessment instrument (i.e., to each General Booklet and Exercise Booklet if applicable) 	YES		
<p>3. Final Result Codes</p> <ul style="list-style-type: none"> Fields are required on the Household Questionnaire for recording the final completion status of the Household Questionnaire, the General Booklet, and any Exercise Booklet if applicable Final Result Codes provided at the end of the Household Questionnaire must be used by all participating countries to ensure that the status of each <u>sampl</u>ed case is consistently classified (note that even non activated reserve households should be assigned a result code) 	<p>YES</p> <p>YES</p>		
<p>4. Plan for Coding of the Household Questionnaire</p> <ul style="list-style-type: none"> Coding will be undertaken by at least one Coder working at the Head Office Please provide the name of the Head Coder and Assistant Coders if any Pre-coded response categories from the household questionnaire will follow the Variable Convention provided by the STEP Consortium Each country is responsible for coding the ‘write-in’ responses from the response category “Other”, and must provide the code set to the STEP Consortium. Each country must ensure that these coded responses are included in the editing of the data. Please specify for all questions where this category was selected. The following codebooks will be used to code education, occupation, 	<p>YES</p> <p>YES</p> <p>YES</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
and industry information from the Household Questionnaire: <ul style="list-style-type: none"> - ‘2008 International Standard Classification of Education (ISCED)’ will be used to code the education variable, i.e., ‘highest level of education’ - ‘ISCO Job Titles’ will be used to code the occupation variable - ‘International Standard Industrial Classification of All Economic Activities, Third Revision’ will be used to code the industry variable. 			
5. Plan for Coding of the Literacy Modules and Verification of Data			
5.1. Recruiting and Training the Scorers and Chief Scorer			
<i>Scorers</i> <ul style="list-style-type: none"> - The scorers at EEC CANADA all have at least a Bachelor’s degree - 5 scorers will be used - All scorers are bilingual in the language(s) of assessment and English 	YES YES YES		
<i>Chief Scorer</i> <ul style="list-style-type: none"> - Each country requires a Chief Scorer who is fluent in English and the country’s STEP reporting language(s) - The Chief Scorer will receive training on scoring procedures and the application of scoring rules for every assessment item - The Chief Scorer will be responsible for the training of the Scoring Team - Each country will send the Chief Scorer to the scorer training that will be provided by the STEP Consortium 	YES YES YES YES		
<i>Scoring Material</i>			

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> - A master copy of the Scorer training materials, i.e., a Scorer Training Manual, including examples and exercises, will be provided by ETS - Some adaptation of these materials may be required if a country's translation and adaptation process resulted in changes to items. The Scoring Guide would need to similarly reflect such changes 	<p>YES</p> <p>YES</p>		
<p>Scorer Training</p> <ul style="list-style-type: none"> - The training should last 3 days and will be given by the Chief Scorer 	<p>YES</p>		
<p>5.2. The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium and should be consistent across countries</p> <p>Reading component:</p> <ul style="list-style-type: none"> - Each reading component response is captured by two different scorers/coders and code resolution will take place - Scorers/coders will use capture sheets designed to capture the responses from Part A of the General Booklet (i.e., reading components) - Scoring must be performed in a centralized location <p>Scoring Operation:</p> <ul style="list-style-type: none"> - Scoring should begin as soon as there are enough completed cases returned from the field to give the scoring team a reasonable workload (usually a week's amount of work for the scorers) - The STEP Consortium will provide <i>Scoring Sheets</i> to record the respondent scores for each item. This will facilitate the data capture of these scores 	<p>YES</p> <p>See Appendix 12</p> <p>See Appendix 12</p> <p>YES</p> <p>YES</p> <p>See Appendix 12</p>		
5.3. Quality Control			

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
Each country is required to carry out the quality control procedures for the scoring of the assessment booklets. The quality control procedures will be provided by the STEP Consortium. These include: <ul style="list-style-type: none"> - Within-country inter-scorer reliability study: Rescoring a proportion of the Core (i.e., Part B of the General Booklets) and Exercise Booklets by a second scorer. - Across-country reliability study: Rescoring a set of anchor booklets by the same scoring team - The Scoring process will be fully documented and include inter-scorer agreement reports, methods used to ensure scorer consistency, all reliability data and all quality control measures 	YES See Appendix 12 YES See Appendix 12		
6. Submission of the Literacy Assessment data to ETS Each country will submit the Literacy Assessment data to <u>ETS</u> , following ETS' guidelines and using its Data Entry Program	EEC CANADA WILL SUBMIT ITS DATA TO THE BANK WHO IN TURN CAN SUBMIT IT TO ETS, unless EEC Canada is provided with written instruction signed by the Team Task Leader to submit directly to ETS		
7. Submission of the Household Questionnaire data to the World Bank <ul style="list-style-type: none"> ▪ Each country will submit the Household Questionnaire data to the <u>World Bank</u> ▪ The edited data file should be free from errors and conform to the Variable Convention 	YES YES		

1.8. Confidentiality

<i>Information Required</i>	<i>Description</i>
-----------------------------	--------------------

<i>Information Required</i>	<i>Description</i>
1. Country's Data Confidentiality Requirements The Survey Firm will advise the STEP Consortium of its country's confidentiality rules regarding the handling and sharing of respondent's data.	Republic Act No. 10173, also referred to as "The Data Privacy Act of 2012"

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
2. Steps to Ensure Data Confidentiality <ul style="list-style-type: none"> 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. 	YES
<ul style="list-style-type: none"> Each country will submit the data file to ETS and the World Bank STEP team (regional team and core team). Data release beyond ETS and the World Bank teams may not be done until 6 months after the submission of the final data files. 	YES

1.9. Quality Assurance

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
1. Quality Assurance <ul style="list-style-type: none"> 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. 	YES
2. Team Composition <ul style="list-style-type: none"> The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys: <ol style="list-style-type: none"> Name of National Project Manager Name of Senior Survey Methodologist Name of the Field Manager Name of the Data Processing Manager Name of the Language Specialist 	SEE POINT 1.2.2
3. Expert Meetings <p>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.</p>	AS PER THE TORS AND CONTRACT
4. Response Rate <ol style="list-style-type: none"> Survey responses will be monitored throughout the data collection activity A contact strategy and a strategy to minimize non-response (described earlier in this report) will be developed and implemented. 	YES YES
5. Data Processing <p>The following quality assurance procedures are planned:</p> <ol style="list-style-type: none"> Test of the data capture system provided by the World Bank. Please note that the Bank will provide the firm with two systems: one for the household survey questionnaire and another for the literacy assessment. Both systems must be tested. 100% verification the captured data. This must be done through the double entry procedure (the data should be entered two different times, and then both databases should be compared). 100% verification of coders' work for both the household survey questionnaire and the literacy assessment Development and implementation of scoring quality control procedures to ensure inter-scorer agreement Creation of the STEP National Data Files according to the Variable Convention specifications provided by the STEP Consortium Data Editing 	YES YES YES YES YES YES

Responsibility	Input	Date
World Bank	Finalized HH Questionnaire Finalized Interviewer Manual Finalized Operational Manual Finalized package of Training Materials for interviewer training NSDPR Template Weekly Report Template Data Entry Program (DEP) for HH Questionnaire Data Entry Program (DEP) / List of checks Data Entry Program (DEP) for the ETS module (Literacy)	All materials will be posted in Sharepoint

THE PHILIPPINES - with translation from English and updated schedule

[illegible]

● Target date	○ In progress	● Literacy Booklets - Target date	○ Literacy Booklets - In progress
---------------	---------------	-----------------------------------	-----------------------------------

1.11. Budget

-EDITED-

PART 3: Sampling and Weighting Plan

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

2.1. Target Population

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<p>1. Target Population – Definition The target population is defined as all non-institutionalized persons aged 15 to 64 (inclusive) living in private dwellings in the urban areas of the country at the time of the data collection. This includes <u>all residents</u>, except foreign diplomats and non-nationals working for international organizations</p> <p>The following are considered “institutionalized” and excluded from the STEP survey:</p> <ul style="list-style-type: none"> ▪ 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 <p>Other acceptable exclusions are:</p> <ul style="list-style-type: none"> ▪ Persons living outside the country at the time of data collection, e.g., students at foreign universities. 	YES		
<p>2. Private Dwelling Unit – Definition A Private Dwelling Unit is defined as a room or a group of rooms used, or intended to be used, for living purposes. A dwelling unit must be capable of permanent human habitation and must have a private entrance either outside or from a common hall,</p>	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
lobby, vestibule or stairway inside the building. A private entrance is one that can be used without passing through the living quarters of someone else.			
3. Household Member – Definition A Household Member is a person who <ol style="list-style-type: none"> 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. 	YES		
4. Exclusions There may be exclusions from the target population for practical operational reasons. But such exclusions should not exceed 5% of the country's urban population aged 15 to 64 years of age.	YES, there are 52 excluded urban barangays according to the agency's lists of least accessible barangays and barangays with peace and order		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
	<i>problems</i> ; this is less than 5% of the urban barangays.		
5. Country-specific Subpopulations 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.	YES		

2.2. Sample Frame

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
1. Sample Frame - Definition <ul style="list-style-type: none"> The Sample Frame is the list of the population from which the STEP sample will be selected. It defines the coverage of the target population and provides the means to identify and locate selected population members The quality of the Sample Frame directly affects the quality of the selected sample, as well as the data collection operation E.g., under-coverage or over-coverage of the target population or the duplication of population members in the frame will generate errors in the selected sample 	List of core urban Barangays from the 2010 National Population Census information provided by the National Statistical Office (NSO), and corresponding number of HHs; see		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
	appendix 11 for details		
<ul style="list-style-type: none"> The Sample Frame should provide coverage of the Target Population so that the number of unique, in-scope survey units on the sampling frame comprises at least 95% of the target population 	<p>YES (The barangays that have been excluded because they were destroyed by typhoons have seen their associated population displaced. These barangays effectively no longer exist.</p> <p>YES</p>		
<ul style="list-style-type: none"> It should be complete, accurate and up-to-date 			

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Information Approved by the Survey Methodologist? Date</i>
1. Frame type E.g., population register, household list, list	2010 NATIONAL POPULATION CENSUS LIST OF BARANGAYS		✓OP (05-JUN-2015)

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Information Approved by the Survey Methodologist? Date</i>
of geographic units, etc.			
2. Source of the frame E.g., 2010 Census, Labor Force Survey, etc.	2010 NATIONAL POPULATION CENSUS		✓OP (05-JUN-2015)
3. Definition of survey units of the frame for each stage of sampling	FIRST STAGE SURVEY UNIT: BARANGAY SEGMENT. A BARANGAY IS THE SMALLEST ADMINISTRATIVE DIVISION IN THE PHILIPPINES. EACH BARANGAY ON THE SAMPLE FRAME WILL BE DIVIDED INTO APPROXIMATELY EQUAL SIZED BARANGAY SEGMENTS BASED ON THE NUMBER OF HOUSEHOLDS IN THE BARANGAY. (SEE APPENDIX 11 FOR A DETAILED DESCRIPTION OF THE SEGMENTATION PROCESS)		
4. Data items on the frame for each stage of sampling, e.g., name, address, age, gender, education, etc.	STAGE 1: NUMBER OF HOUSEHOLDS PER BARANGAY		✓OP (05-JUN-2015)
5. Identify the variables to be used for stratification if applicable	Urban areas of the country were separated into two distinct groups: the first comprising the National Capital Region , and the second regrouping all other urban locations .		✓OP (05-JUN-2015)
6. Provide survey frame counts by stratum and type of survey unit as applicable to the sample design	5,116 Barangays, some of which have been merged such that the frame now contains 5028 barangays 8,416,914 Urban Households		✓OP (05-JUN-2015)

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Information Approved by the Survey Methodologist? Date</i>
E.g., PSUs, dwellings			
7. Quality assurance procedures I.e., assessment of quality of the frame information i. Provide any information regarding known frame issues, e.g., under-coverage of target population, inclusion of out-of-scope units, up-to-date, duplication ii. Explain any steps taken to ensure that the frame is complete and up-to-date	2010 NATIONAL POPULATION CENSUS; WILL BE CONDUCTING FULL ENUMERATION OF SELECTED BARANGAY SEGMENTS PRIOR TO SURVEY		✓OP (05-JUN-2015)
8. Provide Sample Frame of PSUs to World Bank for selection of the first stage sample units	SEE DEVIATION REQUEST	EEC CANADA HAS DEVELOPED A FILE OF BARANGAYS WHICH WILL BE SUBMITTED TO THE BANK IN ORDER TO CREATE THE SAMPLE FRAME OF PSUS, I.E., BARANGAY SEGMENTS	✓OP (05-JUN-2015)

2.3. Sample Size

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<p>A minimum of 3,000 interviews must be submitted to the STEP Consortium. A sample of 6,000 households will be selected to allow for up to 50% non-response.</p> <p>An “interview” is achieved when <u>the roster of household members is completed for the selected household, and the randomly selected individual from the household proceeds with the individual modules.</u></p> <p><u>Guidelines for Sample Size Determination</u></p> <p>The actual number of cases that a survey firm may need to visit in order to obtain the required number of interviews depends on, 1) the expected Response Rate and, 2) for countries that implement the Full Literacy Assessment, the expected Core Pass Rate.</p> <p>1) <u>Expected Response Rate Considerations</u></p> <p>a) Since all surveys experience some level of non-response, the survey firm will need to visit extra households in order to achieve the desired number of interviews.</p> <p>i) A survey firm may have previously experienced reasonably good response rates in other national surveys and may feel secure in basing the response rate expectation for STEP on this past experience. However, the STEP survey is a complex survey, which includes a relatively lengthy questionnaire and also includes a literacy assessment. A survey firm should not underestimate the challenges of obtaining a response rate that is similar to the response rates previously experienced in other national surveys.</p> <p>ii) The firm should have a realistic expectation of the achievable response</p>	<p>As per the TORs, 3000 HHs will be submitted. We understand a completed questionnaire to mean it must bear code 77 and above. Given the high literacy level expected in The Philippines, we expect a maximum of 10% of interviews will not complete the exercise booklets and therefore will account for 3300 HHs.</p> <p>YES</p>		

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

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<p>and 1,286 ‘reserve’ sample cases.</p> <p>2) <u>Expected Core Pass Rate Considerations</u> (applicable only for countries that will implement the Full Literacy Assessment)</p> <p>a) It is important that the survey yields a sufficient number of Literacy Exercise Booklets to be able to properly report on a country’s literacy level. Hence, the number of interviews required also depends on the expected Core Pass Rate, i.e., the expected number of respondents that will correctly answer at least three Core questions in the General Booklet and proceed to complete a Literacy Exercise Booklet.</p> <p>b) For the purpose of determining the sample size requirement, a reasonable estimate for the Core Pass Rate might be the country’s urban literacy rate. For example, if a country’s urban literacy rate is 90% it might be reasonable to assume that 90% of the selected persons that agree to undertake the literacy assessment will pass the Core portion of the General Booklet and proceed to a literacy Exercise Booklet.</p> <p>c) In general, if the expected Core Pass Rate is 80% or higher then a minimum of 3,000 interviews will likely yield a sufficient number of completed literacy Exercise Booklets to satisfy the need for reporting a country’s literacy level.</p> <p>d) Table 2 provides the actual number of households that would need to be visited for a few different expected response rates and expected Core Pass rates.</p>	<p>WE DO NOT EXPECT A HIGHER NON RESPONSE RATE</p> <p>YES</p> <p>YES</p> <p>YES</p>		

Technical Standard				Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date
Table 2: Number of Households to Visit for a Few Core Pass Rates and Response Rates				YES		
Desired Sample Yield	Expected Core Pass Rate [e.g., Estimated Country Urban Literacy Rate]	Expected Response Rate	Sample Size for Core Pass Rate & Response Rate [Actual # of Households to Visit]			
n ₀	C _P	R	n ₁			
3000	80%	70%	4286			
3000	70%	70%	4898			
3000	60%	70%	5714			
3000	80%	60%	5000			
3000	70%	60%	5714			
3000	60%	60%	6667			
3000	80%	50%	6000			
3000	70%	50%	6857			
3000	60%	50%	8000			
3000	80%	40%	7500			
3000	70%	40%	8571			
3000	60%	40%	10000			
e) The above table clearly does not include all possible combinations of expected Core Pass Rate and Response Rate. If a country’s expected rates are not included in the above table, the Survey Firm should contact the World Bank Survey methodologist to discuss the country’s expectations for the Core Pass Rate and the Response rate so that the survey firm and World Bank Survey methodologist can together determine the actual country-specific estimated number of households that will need to be visited to						

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

<i>Information Required</i>	<i>Sample Size and Assumptions</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
1. Sample Size			
a) Provide the country's final sample size goal by sample design variable E.g. Total Sample Size by strata, by PSU, etc. <u>Note: Minimum Sample Size</u> - 6,000 households (3,000 for the initial sample and 3,000 for the reserve sample).	Sample Size currently foresees 3000 households and 3000 replacements		
<u>Sample size determination assumptions:</u> b) What is the expected response rate? c) What is the expected Core Pass rate (or if using adult literacy rate as a proxy, the urban adult literacy rate)	90% IN THE MAGNITUDE OF OUR RECENT HH SURVEY IN THE PHILIPPINES FOR THE BANK 90% (GIVEN ADULT LITERACY RATE OF 95%)		
d) If applicable: Provide the rationale for additions to the sample size to satisfy country-specific data analysis objectives.	N/A		
e) Data analysis objectives E.g., identify the important data breakdowns or survey estimates to be derived from the survey data. f) Precision goals for the survey estimates.	N/A		

2.4. Sample Design

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
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.	YES		
In addition, the sample selection process must be objective (i.e., a random selection method must be used) at all stages of sample selection.	YES		
<p>Preferred Sample Design: A sample of at least 6,000 households (i.e., 3,000 initial sample and 3,000 reserve sample) will be selected in at least two stages.</p> <p>1. In the first stage, at least 200 small territorial areas (hereafter referred to as <i>Primary Sampling Units</i>, or <i>PSUs</i>) will be selected with probability proportional to size (PPS).</p> <p>2. In the second stage, 15 households will be systematically selected as the target sample in each selected PSU. In addition, 15 households will be systematically selected as the reserve sample in each selected PSU.</p> <p>3. Subsequently, at a third stage of sample selection the main respondent will be randomly selected in each visited household from among all household members aged 15 to 64 years. The selection method for the main respondent is described in the household questionnaire. The substitution of the main respondent is not allowed.</p>	<p>NO</p> <p>YES</p> <p>YES</p>	<p><i>As per discussion with the World Bank's STEP Methodologist, regarding the first stage of the sample design, since each barangay will consist of approximately equal-sized segments it was decided to directly select at the first-stage the barangay segments rather than use PPS sampling. To achieve this, the barangays will be</i></p>	<p>✓OP (05-JUN-2015)</p>

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
		<i>divided into equal-sized segments (i.e., approx. 100 HH), and 200 “barangay segments” will be systematically selected after sorting the file by the stratum variable to create implicit strata. see appendix 11 for more details.</i>	
<ul style="list-style-type: none"> ▪ 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. 	NO	<i>See above explanation.</i>	✓OP (05-JUN-2015)
<ul style="list-style-type: none"> ▪ The selection of households (15 initial sample and 15 reserve sample) within selected PSUs will follow STEP Consortium guidelines. 	YES		
<ul style="list-style-type: none"> ▪ 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. 	YES		
<ul style="list-style-type: none"> ▪ All countries must use the same procedure for selecting a person within a household. The procedure will be provided by the STEP Consortium. 	YES		

2.5. Sample Selection

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

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
1) Sample Frame of Primary Sampling Units (PSUs) a) The Survey Firm will provide a file containing the most current list of PSUs to the STEP Consortium. b) The list must include a suitable measure of size (e.g., number of households, number of persons 15 to 64, number of persons) for each PSU for selecting the sample of PSUs with probability proportional to size. c) Upon receipt of the sample frame and agreement of its suitability for STEP sampling, the STEP Consortium will select the initial sample of PSUs, and a reserve sample of PSUs for use when it is not possible to conduct any interview in an entire initially-selected PSU	NO	<i>A list of barangays in the target population was delivered to the World Bank Methodologist. The list of barangays included the number of households per barangay. The sample frame of barangay segments will be created using the provided list of barangays. See appendix 11 for more details.</i>	✓OP (05-JUN-2015)

2.6. Response Rate Goal and Non-Response Bias Assessment

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
The response rate goal is to obtain an interview from at least 70% of the sampled households.	YES		

<i>Information Required</i>	<i>Proposed Plan to Assess Non-response Bias</i>	<i>Deviation Requested from the Standard</i>	<i>Approved by the STEP Team? Date</i>
1. Non-response Bias Assessment <ol style="list-style-type: none"> Each participating country will carry out an assessment of the bias due to non-response and report the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications. Results from countries with response rates below 50% will not be published unless the country can provide the WB with evidence that the potential bias introduced by the low response rates is unlikely to be greater than the bias associated with response rates above 70%. If a country attains less than a 50% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the STEP Team, the country's survey results may be included in the STEP international survey publications with asterisks and footnotes as appropriate. The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. <ul style="list-style-type: none"> Some possible non-response analyses include: <ul style="list-style-type: none"> A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the 	YES		

<i>Information Required</i>	<i>Proposed Plan to Assess Non-response Bias</i>	<i>Deviation Requested from the Standard</i>	<i>Approved by the STEP Team? Date</i>
<p>characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A possible non-response follow-up procedure is to ask non-respondents a brief set of questions related to background questionnaire items.</p> <ul style="list-style-type: none"> ▪ A comparison of sample counts of key respondent variables to external totals from a reliable source; ▪ A comparison of respondents and non-respondents on auxiliary Sample Frame variables; ▪ A comparison of response rates by industry subgroup; ▪ A comparison of estimates before and after weighting adjustments; ▪ A comparison of “late” or “hard-to-contact” or “non-cooperative” respondents to “early” or “easy-to-contact” or “cooperative” respondents; ▪ Calculation of the range of potential bias. 			

2.7. Weighting

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

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Approved by the Survey Methodologist? Date</i>
1. Description of Weighting Procedures Include a description of the post-stratification strategy <ul style="list-style-type: none"> a. Specify the variables to be used for ‘benchmarking’ b. Specify the source of the file to be used to create benchmark weights 	To be provided by WB Country Team		✓OP (05-JUN-2015)
2. Weighting Procedures <ul style="list-style-type: none"> a. The weighting of each country’s clean data file will be carried out by the STEP Consortium. b. The weighting of the respondent records will be consistent with the PHILIPPINES probability sample design. c. Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file. The following weights will comprise part of each respondent record: <ul style="list-style-type: none"> - Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage. - Final Population Weight - Non-response adjusted sample design weight, i.e., based on the sample design weight and adjusted for non-response. - Benchmark weight (applicable if there are more recent known population totals or there are more reliable known population totals from a source other than the Sample Frame) - the weight resulting from the adjustment of the survey results to known population totals. - Jackknife replicate weights - there will be 30 of these weights which are used to calculate the standard error of the survey estimates 	YES YES YES		✓OP (05-JUN-2015)

<i>Weighting Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Approved by the Survey Methodologist? Date</i>
Final Clean Data File The Final Clean data file must include, <ul style="list-style-type: none"> i. one sample record for each sampled case, i.e., both initial and reserve sample; Note: this means that there must be a line in the data for: <ul style="list-style-type: none"> a. Each household attempted, even if the household was a non-response in such a case, the only information required will be the household ID and final response code (01-09). b. Each case in which the household roster was completed, but no individual interviewed. In such a case, the data required will be the household ID and the result code for the interview. c. Each non-activated reserve households. In such a case, the data required will be the household ID and the result code for the interview. d. Each valid interview. In such a case, the data will include answers to the questionnaire and the result code for the interview. ii. A response code (see list of possible result codes in Appendix 10) for each sampled case. iii. If the listing is done, a separate file of the PSU number and number of listed households in each PSU must be provided. 	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>	<p>✓OP (05-JUN-2015)</p>

2.8. Sample Frame & Weighting Checklist

Information or files required				Data Source & Data File Names & Descriptions	Agreed by Country Project Manager, Date
The following is a checklist of information that is required for selection of the Stage 1 Sampling Units, i.e., PSUs, and the information that is required for weighting the sampled cases at each sample stage. Please acknowledge the ability to provide the required information and files. Note that the following list is based on the WB standard sample design. If a different sample design is approved and the requirements vary from those described below, the STEP Consortium will provide a new list of requirements.					
Item	Sampling Stage/Other	Sampling Unit	Data Required		
1)	Stage 1 Sampling Unit	[Include name of type of PSU]	[Measure of size for PSU selection, e.g., # of households per PSU]	[Sample Frame Name & name of variable for ‘measure of size’] Sample Frame to be provided by Country Firm.	See Attached Document on Sampling and Frame
2)	Stage 2 Sampling Unit	Dwelling	Total Number of Listed Dwellings in Each Selected PSU	Listing Operation, Dwelling Count per Selected PSU. To be provided by Country Firm, i.e., included in final clean data file.	Agreed by Farès Khoury, 20 March 2015
3)	Stage 3 Sampling Unit	Household	Total Number of Households in Each Selected Dwelling	Field Operation, Household Count per Selected Dwelling. To be provided by Country Firm, i.e., included in final clean data file.	Agreed by Farès Khoury, 20 March 2015
4)	Stage 4 Sampling Unit	Person	Total Number of Eligible Persons in Each Selected Household	Clean Country Data File (Questionnaire, Module 1, Part C, Item 2) To be provided by Country Firm.	Agreed by Farès Khoury, 20 March 2015
5)	Other-Final Status of Sample Case	n/a	Final Result Code for each sampled case, including initial sample and reserve sample	Clean Country Data File To be provided by Country Firm.	Agreed by Farès Khoury, 20 March 2015

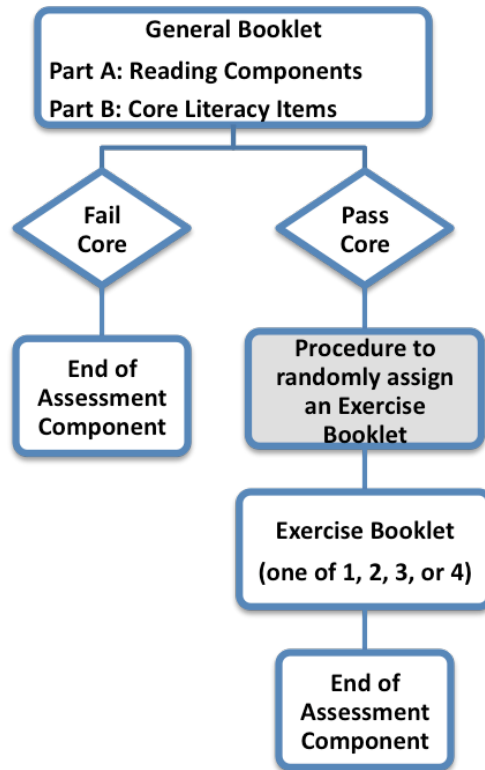
<i>Information or files required</i>				<i>Data Source & Data File Names & Descriptions</i>	<i>Agreed by Country Project Manager, Date</i>
The following is a checklist of information that is required for selection of the Stage 1 Sampling Units, i.e., PSUs, and the information that is required for weighting the sampled cases at each sample stage. Please acknowledge the ability to provide the required information and files. Note that the following list is based on the WB standard sample design. If a different sample design is approved and the requirements vary from those described below, the STEP Consortium will provide a new list of requirements.					
Item	Sampling Stage/Other	Sampling Unit	Data Required		
6)	Other – Benchmark Variables	n/a	Most recent known population totals for the variables age and gender	The counts will be from a reliable current source of data such as a recent Census or other recent national survey. Benchmark Counts and the name of the source of counts to be provided by Country Firm.	Agreed by Farès Khoury, 20 March 2015

PART 4: Project Implementation Report

This section will be filled out by the Survey Firm **after fieldwork**. The STEP Consortium will share an outline with contents and details after receiving a full version of parts 1 to 3.

Appendix

Appendix 1. Workflow – Full Literacy Assessment



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

- EDITED -

Appendix 3. Survey Firm Experience

- EDITED -

Appendix 4. Training Agenda

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

Appendix 5. Supervision Form – Interviewer Evaluation

STEP Skills measurement survey Supervision Form #2: Interviewer Evaluation

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

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

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

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

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

INDIVIDUAL MODULES BEGUN BUT NOT COMPLETED.

51	Individual <u>refused</u> to continue (time constraints, did not want to bother, other general refusal)	Y	Y	N
52	Individual interview could not be continued because of <u>unusual circumstance</u>	Y	Y	N

GENERAL BOOKLET (MODULE 9) NOT BEGUN

61	Individual does not read the <u>language</u> of the General Booklet so refused to begin.								n		N
62	Individual <u>refused</u> to begin General Booklet (time constraints, did not want to bother, other general refusal)								Y	Y	N
63	Individual could not do General Booklet because of <u>unusual circumstance</u>								Y	Y - see if can schedule later	N
64	Individual could not do General Booklet because of <u>blindness</u> or visual impairment.								n		N
65	Individual could not do General Booklet because of a <u>physical disability</u> (cannot hold pen, etc.).								n		N



GENERAL BOOKLET (MODULE 9)				
71	Individual looked through the Booklet but <u>unable to read and write the language of the Booklet so did not</u> begin.	n		N
72	Individual began General Booklet but <u>refused to continue</u>	Y	N	N
73	Individual <u>had too long an interruption</u> in the General Booklet, so it could not be resumed.	n		N
74	General Booklet stopped because of <u>unusual circumstance</u> .	n		N
75	Individual attempted the General Booklet but <u>did not mark</u> any answers	n		N
76	Individual <u>marked some</u> items of the General Booklet but did not attempt all items.	n		N
77	Individual <u>marked some</u> of the General Booklet and attempted all the items.	n		N
78	Individual marked <u>all</u> questions of the General Booklet.	n		N

Appendix 7. Supervision Form – Visual Scrutiny

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

PSU Sample ID: Supervisor Name : Code: Date:

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



Appendix 8. Supervision Form – Check-Up Visit

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

PSU Sample ID	HH Sample No.				

in person telephone

Date:

--	--	--

Date:

--	--	--

Date:

--	--	--

Supervisor:

--	--	--

 Code:

--	--

Interviewer:

--	--	--

 Code:

--	--

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





Appendix 10. Result Codes

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

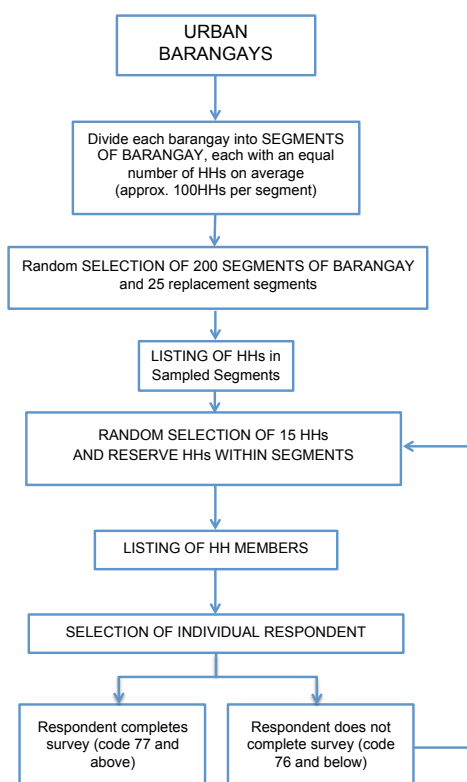
code	HOUSEHOLD MODULE NOT BEGUN						
01	Household refused to be interviewed (time constraints, did not want the bother, other general refusal)						
02	Household not interviewed because of <u>unusual circumstance</u> (death in family, illness, fire in dwelling, etc)						
03	No knowledgeable household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



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

Appendix 11. Sampling plan

The following sampling plan is based on a sampling plan EEC Canada implemented successfully in a household survey in 2014 for the Bank in The Philippines, adapted to the requirements of the STEP survey as outlined in the TORs, and as presented in the revised Technical Proposal submitted and accepted by the Bank.



In summary, the approach suggested here consists of:

1. Each barangay will be divided into «barangay segments», or «segments» for short, each with an equal number of households on average (approx. 100HH).
2. The segments will be randomly shuffled by stratum.
3. Randomly select 200 segments proportionately distributed by stratum.

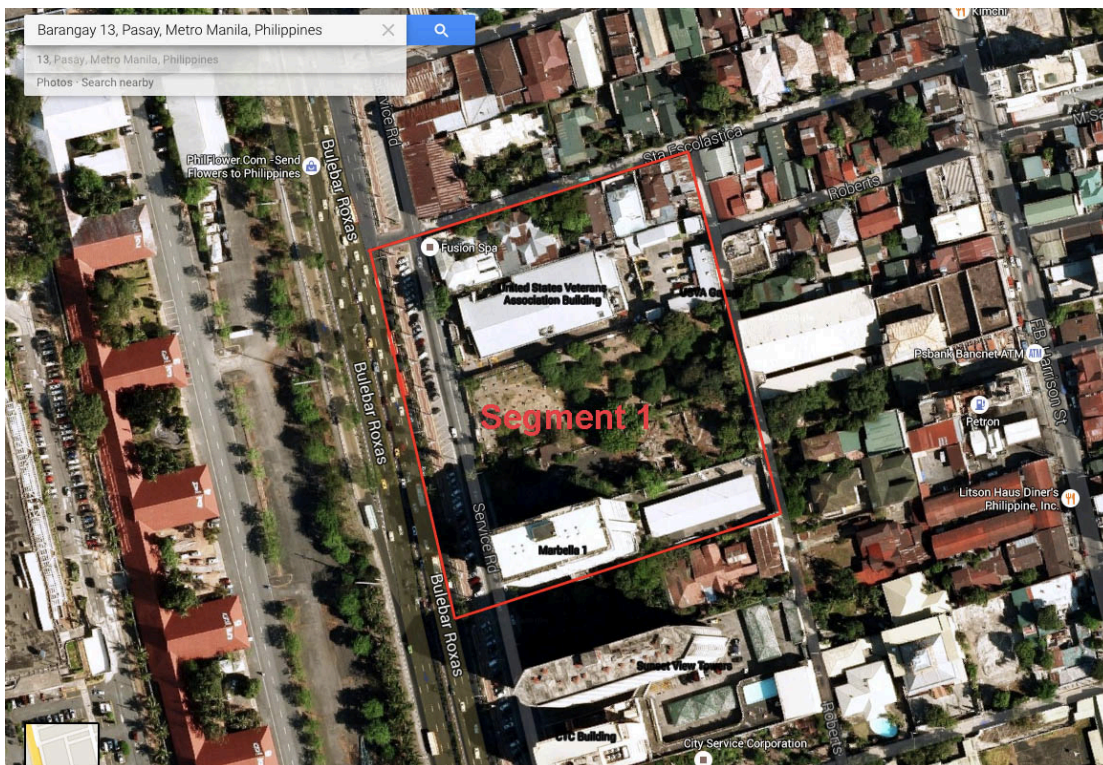
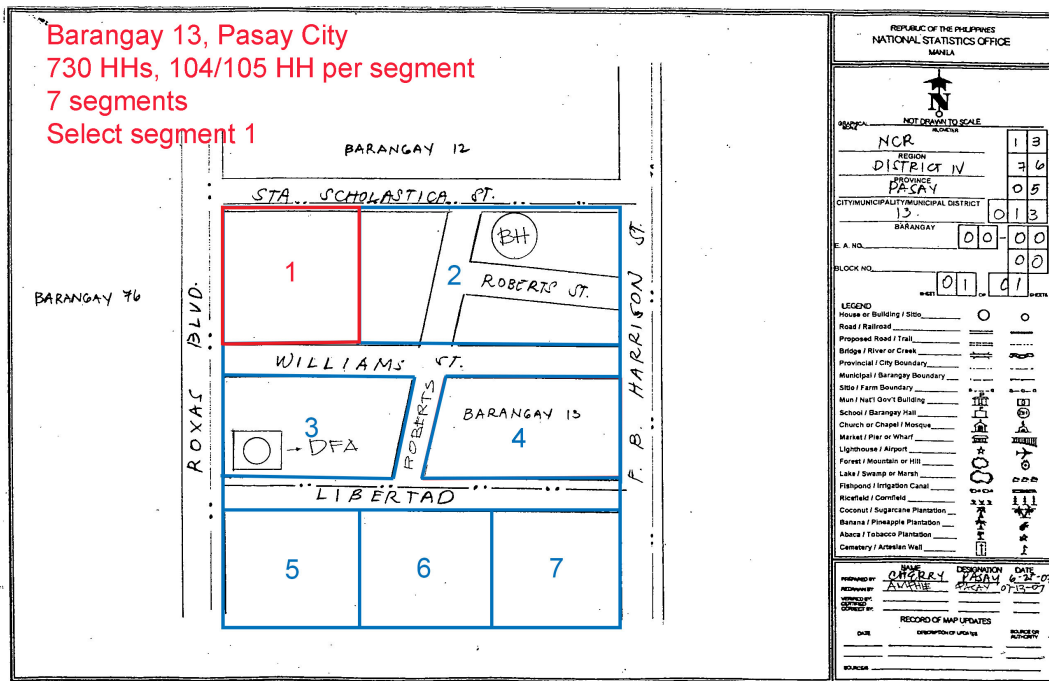
Subsequently these randomly chosen segments will be located on the barangay maps.

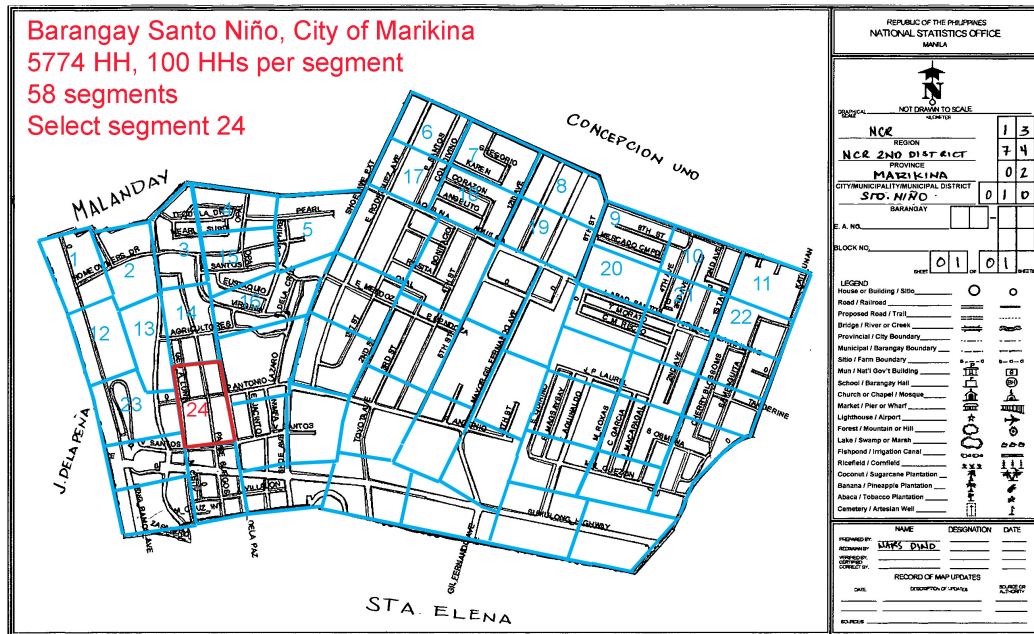
The number of segments in each barangay will be determined by dividing the number of HH in a barangay by 100. Each segment will then be placed on the map of the barangay in a systematic manner. The delineation of segments is not a mechanical process where all segments have the exact same area within the barangay. It requires that someone looks at the map of the barangay and interprets what they see, slightly modifying

segment size from a starting point, depending for example, on number and size of roads, indicating that there would be less HHs, the presence of rivers, of parks, empty areas, shopping centers, industrial parks, and so on. In addition, when satellite views are available for the barangays, an examination of the types of buildings, their density, as well as their height, contributes to improving the overall assessment of HH-density of the corresponding segment. In some circumstances, when maps alone do not yield sufficient information to delineate the segments, field visits may be required to have a better division of barangays in segments with an equal number of HHs.

This said, in the end, once a segment is located and delineated, it is situated in the exact same spot on the map of the barangay, no matter how many times the exercise is conducted.

Below are 2 examples of how two different barangays would be divided into segments, how these segments would be numbered, how the selected segments once drawn and delineated, would remain in a stable location on the map of the barangay for listing activities of this or any other survey. The satellite view for «segment 1, in barangay 13 of Pasay, Metro Manila», and for «segment 24 of barangay Santo Nino, City of Marikina» illustrate how building type, density, and height contribute to determining a segment comprising approximately 100 HHs.





The plan we propose complies with the requirements of the TORs in the following manner:

- Target Population: as specified by the STEP consortium, using the Philippine Statistical Agency's definition of urban Barangays, and with a number of Barangays excluded according to the Agency's lists of *Least Accessible*

Barangays (LABs) and *Barangays with Peace and Order Problems* (POPs), that together amount to significantly less than the 5% threshold set by the TORs. In addition, Barangays extremely altered by Typhoon Haiyan, and that in essence no longer exist are not included in the STEP frame.

- Sample Size: foresees 3000 households and 3000 replacements.
- Implement a sample design that is acceptable to the STEP Consortium: having carried out the STEP survey in Kenya, EEC Canada is practiced at implementing the STEP procedures for selection at each stage.
- Primary Sampling Units selected by the STEP Consortium: EEC Canada is providing a spreadsheet to the STEP Methodologist for selection.
- Household listing operation to update counts for selected PSUs: this sampling plan foresees the random selection of barangay segments of size approximately 100 households within the Barangay, and a listing exercise for all households within the selected segment.
- Weighting requirements: the above mentioned listing exercise, along with the information from the census will be provided to the STEP Methodologist to calculate weights according to the requirements of the TORs.

In order for the household survey to produce the desired outcome, the sample is designed based on an implicitly stratified, multiple-stage probability sampling procedure, using standard random selection.

In brief,

- The universe of households is divided into Barangays, being the smallest administrative unit in the Philippines for which census counts of households exist.
- Barangays of less than 75 HHs have been regrouped with the closest barangay and they will always be treated as «merged» with the last segment of the barangay; two barangays with less than 75HHs, however, were not merged. This is essentially because they were located too far from other urban barangays to be merged. Barangay Matling (Unique ID 360015075) with 62 HHs is the only barangay in the municipality of Malabang and barangay Magdalo (Unique ID 340008016) with 72 HHs is the only barangay in the municipality of Famy.
- Barangays are then stratified, in two strata: the National Capital Region and All Other Urban Areas - as defined by decree in The Philippines.
- If a selected Barangay has more than 100 households (and it is generally the case), it is divided into segments of equal size of about 100 households each (e.g. a Barangay of 6090 HHs, will represent 61 segments of 99 households each).
- Barangay segments within each stratum are then shuffled in a random order. The STEP Methodologist will select a sample of segments.
- A grid representing the number of estimated segments of about 100 HHs each is then designed and superimposed on the map of the Barangay to which the selected segments belong, each square of that grid is then numbered (using the same order for all barangays).
- Enumerators do a listing of households in the selected segments.

- Based on the actual listing, 30 households are systematically selected, and 15 households are randomly selected as the initial sample and the remaining 15 households are their replacements.

The sample frame

The sampling frame was extracted from the results of the 2010 Philippines Census of Population and Housing. The key numbers summarizing the census are as follows:

- Population of The Philippines: 92,335,113
- Number of Households: 20,171,889
- Number of Regions: 17
- Number of Provinces or Highly Urbanized City: 116
- Number of Barangays (the smallest administrative division): 42,020

The National Statistics Office of the Philippines has an operational definition for distinguishing urban from rural Barangays. The definition can be summarized as follows:

- All Barangays in the National Capital Region or in other Highly Urbanized Concentrations are considered urban.
- Any Barangay with a population over 5000 is urban.
- Any Barangay with at least one establishment with over 100 employees is urban.
- Any Barangay with 5 or more establishments of 10 to 99 employees, and with 5 or more defined public facilities within 2 kilometers of the Barangay hall is urban.
- All other Barangays are rural.

The following table represents the distribution of households in urban regions.

Number of urban HHs Census 2010

Regions	Urban
ARMM	70,985
CAR	98,977
CARAGA	139,850
N C R	2,759,829
REGION I - ILOCOS REGION	133,622
REGION II - CAGAYAN VALLEY	85,002
REGION III - CENTRAL LUZON	1,153,957
REGION IV-A - CALABARZON	1,715,918
REGION IV-B - MIMAROPA	135,697
REGION IX - ZAMBOANGA PENINSULA	247,877
REGION V - BICOL REGION	168,720
REGION VI - WESTERN VISAYAS	534,731
REGION VII - CENTRAL VISAYAS	662,048
REGION VIII - EASTERN VISAYAS	75,364
REGION X - NORTHERN MINDANAO	385,118
REGION XI - DAVAO REGION	601,993
REGION XII - SOCCSKSARGEN	412,659
Grand Total	9,382,347

Sample frame exclusions

In order to prepare the STEP sample frame adequately some Barangays are to be excluded because of accessibility or security reasons. EEC Canada had received lists of *Least Accessible Barangays* (LABs) and *Barangays with Peace and Order Problems* (POPs), provided by the National Statistical Office (NSO)), and had also identified with the help of the Bank, Barangays to exclude because they were the hardest hit by Typhoon *Haiyan* (*Yolanda*). The barangays in which 40% or less of families were seriously impacted by the typhoon (a list provided by the Bank) were included in the STEP frame. In comparison to the population of the country, the key numbers of the STEP sample frame are as follows:

- Number of Urban Households: 8,416,914
- Number of Urban Barangays: 5,028 (5,116, before merging smaller barangays)

The following table represents the distribution of urban households across the regions of the country in the STEP sample frame. Note that the majority of urban households missing from the STEP frame are in the Visayas regions, which were hardest hit by the typhoon in 2014. In these regions, the dwellings (and households) hardest hit Barangays essentially no longer exist, having been thoroughly destroyed, in spite of efforts to rebuild them.

The overall distribution of barangays by size in the STEP frame is as follows:

Number of eligible urban HHs Census 2010

Regions	Urban
ARMM	70,820
CAR	96,823
CARAGA	134,327
N C R	2,704,838
REGION I - ILOCOS REGION	133,622
REGION II - CAGAYAN VALLEY	85,002
REGION III - CENTRAL LUZON	1,141,304
REGION IV-A - CALABARZON	1,708,795
REGION IV-B - MIMAROPA	126,634
REGION IX - ZAMBOANGA PENINS	244,284
REGION V - BICOL REGION	165,146
REGION VI - WESTERN VISAYAS	370,995
REGION VII - CENTRAL VISAYAS	33,578
REGION VIII - EASTERN VISAYAS	16,054
REGION X - NORTHERN MINDANAO	385,118
REGION XI - DAVAO REGION	600,971
REGION XII - SOCCSKSARGEN	398,603
Grand Total	8,416,914

Number of Households	Number of Urban Barangays
< 100 HHs	52
100 - 249 HHs	601
250 - 499 HHs	848
> 500 HHs	3,527
TOTAL	5,028

Urban areas of the country were separated into two distinct groups: the first comprising the **National Capital Region**, and the second regrouping **all other urban locations**.

The distribution of households by strata is presented in the following table:

Distribution of household by urban strata	
Regions	
Urban Type 1 - N C R	2,704,838
Urban Type 2 - Other Urban	5,712,076
Grand Total	8,416,914

The distribution of Barangays by strata is presented below:

Number of barangays by urban strata	
Regions	
Urban Type 1 - N C R	1,667
Urban Type 2 - Other Urban	3,361
Grand Total	5,028

Stratification

The sample frame is stratified in 2 strata: the NCR region on the one hand, and all other urban locations of the country in the frame, on the other hand.

Each urban Barangay belongs to one of the 2 strata numbered in the following table:

Numbering of strata	
Regions	
Urban Type 1 - N C R	1
Urban Type 2 - Other Urban	2

Sample distribution (inclusive of replacements)

A target of 225 Barangay segments will be systematically drawn to spread the sample of segments across the 2 strata; this sampling strategy will result in a sample distribution that is approximately proportional to the total number of segments per stratum. The intent is that 200 of these be immediately targeted for enumeration, while 25 are held in reserve as replacement Barangay segments in the event that one of the selected Barangay segments proves impossible to survey.

The following table illustrates a possible approximate proportional distribution of Barangay segments between the two strata:

Sample allocation	
Regions	
Urban Type 1 - N C R	72
Urban Type 2 - Other Urban	153
Grand Total	225

Of which selected replacements:

Replacements	
Regions	
Urban Type 1 - N C R	8
Urban Type 2 - Other Urban	17
Grand Total	25

Appendix 12. Scoring Procedure

The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium, with the differences outlined below.

1. EEC Canada will use a team of 5 scorers, as recommended by the STEP Consortium. Scorers will use a CSPro version made especially for the purpose of directly capturing responses and correction codes from the General and Exercise booklets. CSPro scoring data will then be converted into Excel and imported into the DME Software. This avoids the need for double coding results from a capture sheet onto the DME Software and reduces coding errors significantly. This procedure increases reliability of the data by eliminating errors that occur when preparing the data capture sheets, and also reduces errors from data entry (even if double data-entry) from the data capture sheets into the DME software.

2. For each respondent, the associated General and Exercise booklet will be clipped together to form a package. Booklet packages will then be divided into 12 bundles of 167 booklet packages and 6 bundles of 166 packages, for a total of 18 bundles. Each of these 18 bundles will be scored twice according to the table below. This procedure ensures that any scoring mistake or disagreement will be caught by this added layer of quality control. These 2 scorings will correspond one to the main scoring, the second to the reliability scoring. They will both be entered distinctly into the DME software.

BUNDLES	SCORERS				
	A	B	C	D	E
1	167	167			
STOP AND COMPARE					
2		167	167		
3	167			167	
4		167			167
STOP AND COMPARE					
5	167		167		
6		167		167	
7			167		167
8	167			167	
9		166			166
10	167	167			
11	167		167		
12		167		167	
13	167				167
14	166		166		
15		166		166	
16			166		166
17		166		166	
18	166				166
STOP AND COMPARE					

* Green cells represent reliability scoring