



# STEP Skills measurement survey

<*COUNTRY*>

Household Survey  
2015-16

# Operation Manual

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## **1 Introduction**

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

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

The research program has the following two objectives: (1) develop and apply harmonized survey instruments to: (i) assess the distribution of cognitive, non-cognitive, and technical skills in the labor force of middle-and low-income countries and the demand for these skills by employers, (ii) assess

the impact of different types of skills on labor market outcomes, and (iii) analyze the extent to which there are skills mismatches in participating countries; and (2) support country research teams to adapt and implement the surveys in several countries, analyze the results, and identify policy interventions that may be useful to step up the supply of skills sets needed to improve employability and productivity. The application of harmonized surveys in a broad range of country contexts will provide an opportunity to validate findings across countries and distill lessons that may be applicable beyond the countries under review.

In each of the countries participating in the study, the firm <FIRM'S NAME> –for whom you work– will administer questionnaires at the household level, and then choose one household member to complete individual modules..

The household survey is expected to collect information on the working-age population's workplace skills, personal skills and literacy level, as well as background information on their family structure, general health, education and employment history

The objective of this manual is to help you become familiar with the survey methodology which will be used to implement the survey (sampling strategy, fieldwork method and data management).

## 2 Fieldwork Organization

### 2.1 Teams and Work Plan

The fieldwork will be organized into independent teams, each consisting of a supervisor (team leader) and interviewers (ideally three interviewers, but not more than 4 interviewers per team supervisor) who move from one PSU to another during the data collection period. It is strongly recommended to work with a few teams working for a longer period, rather than many teams working for a short period.

*The fieldwork plan should include structured, periodical and random supervision of the teams by the central office.*

A framework calendar should be used to guide the team's work in each PSU. This calendar should explicitly indicate what the team and each of its members is expected to accomplish day by day. This calendar should include:

- Time needed to find the correct respondents
- Time needed for quality assurance
- The time needed to move between PSUs

#### Note:

- ✓ Do not think in terms of the number of days that one interviewer needs to complete the assigned questionnaires.
- ✓ Rather, think in terms of the total number of days that a team needs to complete the assigned questionnaires for a PSU (i.e., the time to complete 15 households)

Below is an example of a calendar for this survey, based on teams of three interviewers:

(It supposes that the listing of dwellings in the PSU will be done by the interviewer team, led by the Team Supervisor. If your country is doing listings with a dedicated listing team before the interviewing begins, or if you have a frame that is sufficiently recent to not require listings, then this listing time in the schedule will not be required.)(The selection of 30 households consists of 15 initial sample households and 15 reserve households)

Day	Households in one PSU		
	Interviewer # 1	Interviewer # 2	Interviewer # 3
	Households # 1 to # 5	Households # 6 to # 10	Households # 11 to # 15
1	<b>Listing of the PSU and selection of 30 households</b>		
2	Module 1 for households # 1, # 2 and # 3 Selection of the respondent and make appointment with him/her	Module 1 for households # 6, # 7 and # 8 Selection of the respondent and make appointment with him/her	Module 1 for households # 11, # 12 and # 13 Selection of the respondent and make appointment with him/her
3	Module 1 for households # 4 and # 5 Selection of the respondent and make appointment with him/her Modules 2-10 in HH # 1 (selected respondent)	Module 1 for households # 9 and # 10 Selection of the respondent and make appointment with him/her Modules 2-10 in HH # 6 (selected respondent)	Module 1 for households # 14 and # 15 Selection of the respondent and make appointment with him/her Modules 2-10 in HH # 11 (selected respondent)
4	Modules 2-10 in HH # 2 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 7 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 12 (selected respondent) Complete any non-finalized individual interview of the previous households
5	Modules 2-10 in HH # 3 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 8 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 13 (selected respondent) Complete any non-finalized individual interview of the previous households
6	Modules 2-10 in HH # 4 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 9 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 14 (selected respondent) Complete any non-finalized individual interview of the previous households
7	Modules 2-10 in HH # 5 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 10 (selected respondent) Complete any non-finalized individual interview of the previous households	Modules 2-10 in HH # 15 (selected respondent) Complete any non-finalized individual interview of the previous households
8	<b>Travel to the next PSU</b>		

## 2.2 Survey Plan

The length of the survey is inversely proportional to the number of field staff required to complete the work. There are many benefits for limiting the number of field staff, including:

- ✓ each interviewer conducts a large number of interviews, and as a result becomes highly skilled
- ✓ for the headquarters team, supervision and administration are easier with a smaller number of field teams
- ✓ overall administration costs are lower with fewer field teams
- ✓ about the same amount of time is needed for staff training regardless of the duration of the survey

The survey plan should take into account the sample size and the time needed for each field team to complete one PSU. For a survey such as the STEP Household Survey, the time needed to complete the fieldwork would be around 3 to 5 months if the number of teams is approximately 8-12 and there are about 200 PSUs.

## 3 Selection of Households to be Interviewed

### 3.1 Operational Definitions

The two main operational definitions during the implementation of this survey relate to (i) the *private dwelling unit*; and (ii) the *household membership*.

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

A **household member** is a person who

- 1) considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;
- 2) makes some common provision for food and other essentials of living;
- 3) spent most of his/her 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.

The place of usual residence is used as the basis of the household membership. The existence of shared expenses in the household, including benefiting from expenses as well as contributing to expenses, will also be used to determine who is regarded as household members.

The determination of the place of usual residence and household membership will likely be straight-forward for the majority of persons. A person is considered to be a 'usual resident' if they spend most of their daily rest, for at least nine (9) months over the past twelve (12) months, at the household. The term 'usual residence' is for many people the place that a person regards as his or her home. As a rule, it is the place where he or she usually sleeps. There can be only one usual place of residence.

If there is any uncertainty concerning a person's usual residence, an interviewer will need to probe to determine where the person in question spent most of his or her time over the 12 months, and/or whether the person shared in household expenses.

A household may be either a *single person household* or a *multi-person household*.

*Single person household* is one individual who makes provision for his own food and other essentials of living without combining with any other person, and has no usual place of residence elsewhere.

*Multi-person household* is a group of two or more persons who make some common provision for food or other essentials of living, and have no usual place of residence elsewhere. The persons constituting the group may pool their incomes and have a common budget to a greater or lesser extent; they

may be related or unrelated or a combination of both. The general criterion to be used in identifying the members of a multi-person household relates to whether they live and eat together and have no usual place of residence elsewhere.

All persons satisfying the standard household member definition who reside in a selected dwelling are considered to be a part of the household. Such persons who are temporarily absent for reasons such as travelling, attending an educational institution, admitted to a hospital, etc., shall be included as household members. Persons staying temporarily with the sampled household such as visitors, temporary boarders and lodgers, transients, servants, guests, etc., and any other persons who consider their usual place of residence to be elsewhere are not considered to be household members.

Regarding the household membership definition, it should be noted that it is unacceptable for a country's household membership definition to exclude a person based on their availability for an interview during the survey period.

The definition of the household member implies that all three conditions mentioned above are satisfied. Still, attention should be paid in applying the 3<sup>rd</sup> condition regarding the "9 months out of 12" rule. This should only apply when there are prolonged absences from the household, for example several months at a time. If, on the other hand, the absences from the household are relatively short in duration (e.g. an individual being away for 2-3 days per week, but essentially being in the household every week of the 12 months), then the individual shall be considered a household member.

The above should apply to any possible household members, including those who are away for studies, for work, or in another institution. For example, if a student is absent from the household for prolonged periods during the year totaling more than 3 months, then they should not be considered household members for purposes of this survey.

If a dwelling unit is occupied by a group of related / unrelated persons who do not eat together as defined above, but have common living arrangement then it will be treated as a **multi-household dwelling unit** and each group of individuals who have common eating arrangements will be enumerated as an independent household like all other households in the sample area. For example, two friends who share an apartment, with no other usual place of residence, but who do not eat together under the common cooking arrangements, constitute two households.

In the STEP survey, the terms household and dwelling are considered the same for sampling purposes except for the case of a multi-household dwelling. In the case of a multi-household dwelling being selected for interview, a listing of households will take place and one household only will be selected further for the interview (see Section 3.5. below).

## 3.2 Listing Operation

**THERE IS NO LISTING REQUIRED FOR THE COUNTRIES USING HOUSEHOLDS SELECTED FROM A CENSUS FRAME.** However, using a census frame should be used only when a census has taken place within the last 3 years. Those countries can skip to Section 3.3.

**<FOR COUNTRIES HAVING LISTINGS DONE BY THE INTERVIEW TEAMS>** An important task when arriving in a PSU (Primary Sampling Unit) will be for the listing operation to take place. The supervisor will lead this exercise; the exercise, however, can be carried out either by the supervisors or by the team of interviewers.

The “listing operation” refers to the field operation where enumerators visit *each selected Primary Sampling Unit* (PSU) in order to update the existing maps and prepare either one of the following lists (depending on the usual method employed by the country or by the firm):

- a) a list of all households currently living there by visiting door to door all the dwellings in the PSU;
- b) a complete list of dwellings in the PSU;

Households to be interviewed for this STEP survey will then be randomly selected using this list.

***Listing is a field operation that requires training and supervision: It is essential to list all dwellings/households in the PSU. This seems obvious and trivial, but achieving this objective is harder than it seems, and not achieving it will critically affect the quality of the survey, because excluded households cannot be assumed to be similar to listed households***

Some countries might experience a fair amount of PSU-size variation. However, if there are exceptionally large PSUs, they should be divided in appropriately sized segments before the listing operation commence. A PSU should usually be divided when it has more than 200 households or dwellings. In these cases, one segment is selected randomly for the listing operation, in order to economize on both cost and time. The segmentation and the random selection of a segment have to be discussed with the National Project Manager.

The dwellings encountered in the field will be of one of the following types:

- (i) private dwelling units, occupied by households – they are categorized as “housing units”
- (ii) unoccupied dwellings: empty, abandoned private dwelling units, or private dwelling units which are under construction at the time of the enumeration. If it is impossible to determine at the time of the enumeration whether a dwelling is empty or abandoned, then it will be listed as a “housing unit”;
- (iii) non-housing units: institutions such as hospitals, schools, student’s dormitories, military barracks, shops, government buildings etc.

Among the “housing units,” most of them will be occupied by one household while others may be occupied by two or more households. If a listing of dwellings takes place, it is likely that the cases of multi-household units will only be detected at the time of the interview. If a listing of households or a combination listing takes place, it is expected that many of the multi-household units will be detected at the listing stage, and that each household within the respective unit will be separately listed on the listing form. The procedure for dealing with multi-household units which are not detected at the listing but at the enumeration stage is described in Section 3.6.

The two most important characteristics of the final list from the listing operation are that (1) it includes all dwellings in a selected PSU; and (2) it allows the selected dwellings/households to be located easily.

The complete list should always be recorded in a standard form with one line per dwelling/household. The list can be several pages long, depending on the size of the PSU and the number

of enumerators engaged in the operation. An example of a listing form is shown below. This form is meant as an example – countries can use the forms that they use usually for listing exercises.

LISTING FORM				PAGE ____		
PSU Sample ID _____		Interviewer Name _____				
Date _____		Interviewer Code _____				
Line #	Type of building	Information source	Address	Name of household head	Serial number of eligible HHids	Household Sample ID
	Housing unit	1				
	Dwelling is empty/ abandoned / under construction	2		Neighbour	2	
	Non-housing unit (business, collective living, institution)	3		Own observation	3	
				Other	4	
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						

At the top of the listing form, the PSU’s unique number, the date of the enumeration, the interviewer’s name and code is entered. In addition, as each enumerator might fill in more than one listing form, they should also record the page number on each listing form they fill. This example of listing form has the following columns:

1. **Line Number**: Pre-printed serial number that starts at “1” and ends at “25” for each listing form.
2. **Type of building**: As detailed earlier, the dwellings/households encountered during the listing operation will be categorized as either
  - a. Housing units; or
  - b. Empty/abandoned/under-construction units; or
  - c. Non-housing unit (e.g. institution, shop).
3. **Information source**: Refers to the source of information about the building.
4. **Address**: This is the address or dwelling description that is essential in order to locate the dwelling/household at a later stage. It is very important that this address or description is as detailed as possible to facilitate the task of locating a selected dwelling/household. When street addresses are not available (which is the case in the rural and sometimes urban areas of many countries), the address should include references to landmarks that are known in the area.

5. **Name of household head:** this is whoever the household member(s) giving information indicate is the head, and will be used to more easily identify the dwelling or household at a later stage.
6. **Serial number of eligible households:** This column is to be used by the supervisor once the listing operation is over. This serial number excludes the dwellings/households listed as non-“housing units” (codes 2 and 3 under the column “Type of building”). The supervisor will fill in this column continuously over all the listing forms, once these are stapled together.
7. **Selected household #:** This column is to be used by the supervisor once the selection of households has been performed, as explained below.

### 3.3 Selection of Households

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

The selection of the dwellings/households will be carried out using *systematic sampling*, using the Table printed on the back of the Sample Tracking Form (see Annex 8). To select a systematic sample of households, follow the steps described below:

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

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

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

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

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

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

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

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

- 5) Identify the next selected household.

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

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

**Example.** The following example should clarify the above selection procedure.

Let’s suppose that the Random Number for PSU 6786 is 0.99, and that the total number of eligible households is 73.

Then the *Interval* and the *Random Start* numbers are:

$$Interval = \frac{73}{30} = 2.43$$

$$Random\ Start = int(0.99 * 2.43 + 1) = int(3.40) = 3$$

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

Selected Household	Formula		Result	Integer Part
1st	Random Start	3.40	3.40	3
2nd	Previous number + Interval	3.40 + 2.43	5.83	5
3rd	Previous number + Interval	5.83 + 2.43	8.26	8
4th	Previous number + Interval	8.26 + 2.43	10.69	10
5th	Previous number + Interval	10.69 + 2.43	13.12	13
6th	Previous number + Interval	13.12 + 2.43	15.55	15
7th	Previous number + Interval	15.55 + 2.43	17.98	17
8th	Previous number + Interval	17.98 + 2.43	20.41	20
9th	Previous number + Interval	20.41 + 2.43	22.84	22
10th	Previous number + Interval	22.84 + 2.43	25.27	25
11th	Previous number + Interval	25.87 + 2.43	27.70	27
12th	Previous number + Interval	27.70 + 2.43	30.13	30
13th	Previous number + Interval	30.13 + 2.43	32.56	32
14th	Previous number + Interval	32.56 + 2.43	34.99	34
15th	Previous number + Interval	34.99 + 2.43	37.42	37

16th	Previous number + Interval	$37.42 + 2.43$	39.85	39
17th	Previous number + Interval	$39.85 + 2.43$	42.28	42
18th	Previous number + Interval	$42.28 + 2.43$	44.71	44
19th	Previous number + Interval	$44.71 + 2.43$	47.14	47
20th	Previous number + Interval	$47.14 + 2.43$	49.57	49
21st	Previous number + Interval	$49.57 + 2.43$	52.00	52
22nd	Previous number + Interval	$52.00 + 2.43$	54.43	54
23rd	Previous number + Interval	$54.43 + 2.43$	56.86	56
24th	Previous number + Interval	$56.86 + 2.43$	59.29	59
25th	Previous number + Interval	$59.29 + 2.43$	61.72	61
26th	Previous number + Interval	$61.72 + 2.43$	64.15	64
27th	Previous number + Interval	$64.15 + 2.43$	66.58	66
28th	Previous number + Interval	$66.58 + 2.43$	69.01	69
29th	Previous number + Interval	$69.01 + 2.43$	71.44	71
30th	Previous number + Interval	$71.44 + 2.43$	73.87	73

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

For example, on the first line above, we see that first selected household in this PSU will be the household/dwelling corresponding to “*Serial number of eligible HHlds*” **3** on the Listing Form. In the same way, the 2<sup>nd</sup> selected household will be the household/dwelling corresponding to “*Serial number of eligible HHlds*” **5** on the Listing Form.

We mark the selected households on the listing form as follows:

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

LISTING FORM				PAGE 2/2		
PSU Sample ID <u>6786</u>		Interviewer Name <u>Frank Smith</u>				
Date <u>15/1/2012</u>		Interviewer Code <u>12</u>				
Line #	Type of building	Information source	Address	Name of household head	Serial number of eligible HHlds	Household Sample ID
	Housing unit	1				
	Dwelling is empty/ abandoned / under construction	2		Neighbour	2	
	Non-housing unit (business, collective living, institution)	3		Own observation	3	
				Other	4	
1	3		<i>lane beside Gerge Street</i>			
2	1	1	<i>lane beside Gerge Street</i>	<i>Bao Wellei</i>	22	9
3	1	1	<i>lane beside Gerge Street</i>	<i>Luftar Arapi</i>	23	
4	1	1	<i>lane beside Gerge Street</i>	<i>Bob Halili</i>	24	
5	2		<i>lane beside Gerge Street</i>			
6	1	1	<i>lane beside Gerge Street</i>	<i>Hafiz Domi</i>	25	10
7	1	1	<i>lane beside Gerge Street</i>	<i>Zaim Domi</i>	26	
8	3	3	<i>store by Oasis restaurant</i>			
9	3	3	<i>restaurant Oasis</i>			
10	3	3	<i>store- 11 Gerge Street</i>			
11	1	1	<i>Gerge Street #8, 1st floor</i>	<i>Flamur Xholi</i>	27	11
12	1	2	<i>Gerge Street #8, 2nd floor</i>	<i>Gordon Shehu</i>	28	
13	3	3	<i>Clinic by Gerge St #8, on the corner</i>			
14	1	1	<i>Alley by the clinic, 1st house</i>	<i>Fatmir Hasa</i>	29	
15	1	1	<i>Alley by the clinic, 2nd house</i>	<i>Fori Hoxha</i>	30	12
16	1	1	"	<i>Zhang Hong</i>	31	
17	1	2	"		32	13
18	1	3	<i>Alley by the clinic, 3rd house</i>		33	
19	1	1	<i>Alley by the clinic, 4th house</i>	<i>Dimitri Bulgulkov</i>	34	
20	1	1	<i>Alley by the clinic, 5th house</i>	<i>Igor Bysenko</i>	35	14
21	1	1	<i>Alley by the clinic, 6th house</i>	<i>Julie Everett</i>	36	
22						
23						
24						
25						
26						

LISTING FORM				PAGE 1/2		
PSU Sample ID <u>6786</u>		Interviewer Name <u>Arielle Ford</u>				
Date <u>JANUARY 15, 2012</u>		Interviewer Code <u>9</u>				
Line #	Type of building	Information source	Address	Name of household head	Serial number of eligible HHIDs	Household Sample ID
	Housing unit	1				
	Dwelling is empty/ abandoned / under construction	2		Neighbour	2	
				Own observation	3	
	Non-housing unit (business, collective living, institution)	3		Other	4	
1	1	1	4th dwelling right of doctor's house	Skender Puci	37	15
2	1	1	3rd dwelling right of doctor's house	Zhao Hua	38	
3	1	1	2nd dwelling right of doctor's house	Simon Qu	39	16
4	1	1	1st dwelling right of doctor's house	Gerrie Masters	40	
5	1	2	**	Gordon Robertson	41	
6	1	2	doctor's house	IAN GASS	42	17
7	1	2	1st dwelling left of doctor's house	Murat Puci	43	
8	1	1	2nd dwelling left of doctor's house	YAO Sheng	44	18
9	1	1	**	ismet Hodo	45	
10	1	1	1st dwelling right of clinic	Mikhael Bystrenko	46	
11	3		clinic			
12	1	1	1st dwelling to the left of clinic	Fadil Misini	47	19
13	1	1	2nd dwelling to the left of clinic	Zef Deliu	48	
14	2		empty, on the corner		49	20
15	1	1	1st dwelling after corner, big tree in courtyard	Isen Jakola	50	
16	1	1	dwelling opposite the above	Zenel Smith	51	
17	1	1	**	Kujtim Wndreu	52	21
18	1	2	**	ismet Flora	53	
19	1	3	2nd dwelling after corner, next to 1st		54	22
20	1	3	3rd dwelling after corner, next to 2nd		55	
21	2		under construction, next to 3rd			
22	1	1	dwelling next to Zenel Smith, before well	Halil Doku	56	23
23	1	1	dwelling next to above	Arlin Ahmeti	57	
24	1	1	1st dwelling after well, same side as above	Ramiz Alpaka	58	
25	1	1	dwelling behind previous	Mary Gjini	59	24
26	1	1	dwelling opposite Ramiz Alpaka	Halil Lala	60	

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

### 3.4 Sample Tracking Form

Each Team Supervisor will receive one Sample Tracking Form for each PSU, which will contain the following pre-printed information:

1. PSU Sample ID – the PSU identification number;
2. Random Number for the PSU;
3. List of 15 selected households that are the initial “*Target households*” with their check digit and booklet type
4. List of 15 selected households that are the “*Reserve sample households*” with their check digit.

SAMPLE TRACKING FORM											
PSU Sample ID	101				Supervisor Name						
Random Number	0.65				Supervisor Code						
Date											
Household Sample ID	Check digit	Address	Name of hhold head	Enumerator ID	Booklet #		Bklet Type	Result status		Hhld Sample ID of reserve hhold to be used	
					General	Exercise		Final Code	Reason for Non-response		
<i>Target Households</i>											
1	9						1				
3	5						2				
4	8						3				
5	1						4				
6	4						1				
7	7						2				
8	0						3				
10	7						4				
11	0						1				
12	3						2				
15	2						3				
20	8						4				
21	1						1				
24	0						2				
27	9						3				
<i>Reserve Sample Households</i>											
29	5										
14	9										
13	6										
19	4										
9	3										
17	8										
23	7										
2	2										
18	1										
28	2										
26	6										
30	9										
25	3										
22	4										
16	5										

Page 1

The first column, “*HH Sample ID*”, is a randomized list of the 30 selected household numbers from the last column in the Listing Form. This randomization divides the 30 selected households into two groups: (i) *Initial or Target Households*, and (ii) *Reserve Sample Households*.

Serial number of eligible HHlds	Selectd household #
1	
2	
3	1
4	
5	2
6	
7	
8	3
9	
10	4
11	

In the example above, for PSU 101, the random number is .65 and the target households are 1, 3, 4, 5, 6, 7, 8, 10, 12 15, 20, 21, 24 and 27. The reserve households are 29, 14, 13, 19, 9, 17, 23, 2, 18, 28, 26, 30, 25, 22, 16.

If a reserve household is needed, you must first take the first one on the list, HH29, then if another is needed you take the next, HH 14 and so on.

The next step is to copy the address and the name of the household head for each *selected household number* from the Listing Form into the Sample Tracking Form. NOTE: If the listing is done before the interview team arrives in the PSU, then the address and name of each of the selected and reserve households may be already pre-printed by the Head Office, so that the Sample Tracking Form is ready to use, and the Team Supervisor will not do this step.

*For example, if we were filling in the Sample Tracking sheet for PSU 101 above, using the listing forms in the example, we would first fill in the initial (target) households:*

- *On the first line, for HH1: we would write: Emanuela Gomez, and her address*
- *On the 2<sup>nd</sup> line, for HH3, we would write: Alvaro Canales, and his address*
- *On the 3<sup>rd</sup> line for HH4 we would write: Jiye He, and his address,*
- *and so on to finish the 15 initial households*

*Then for the reserve households:*

- *On the first line, for HH29, we would write, under address: the 2<sup>nd</sup> house to the left of the biggest banyan tree. There is no name written on the listing for HH29*
- *On the 2<sup>nd</sup> line, for HH14 we would write: Igor Byshenko and his address*
- *On the 3<sup>rd</sup> line, for HH13 we would write: alley by the clinic, 2<sup>nd</sup> house. (this HH 13 has no name, but already 2 households are listed in the 2<sup>nd</sup> house, so this must be the 3<sup>rd</sup> household, not Fori Hohxa and not Zhang Hong. So there should be a 3<sup>rd</sup> household there – if not, this is a mistake in the listing and the HH should be replaced.)*
- *On the 4<sup>th</sup> line, for HH19, we write Fasil Misini and his address*
- *And so on to complete the 15 reserve households*

The supervisor will then distribute the households among the interviewers of the team. For each household assigned to an interviewer, write the interviewer’s Identification Code in the column labeled “*Enumerator ID*”.

At the same time, the Team Supervisor will distribute each interviewer the General Booklets and the appropriate type of Exercise booklets (the type of Exercise booklet that should be used is pre-printed in the column labeled “*Booklet Type*”). At the time of distribution, record in the columns of the Sample Tracking Form labeled “*Booklet #*” the numbers on the General and Exercise booklets which are handed to each interviewer. If any of these booklets are not used because of various reasons (e.g. selected individual refused the interview, selected individual stopped during modules 2-7 and refused to continue, selected individual completed the General Booklet but did not pass the Core), then they can be used for another household during the fieldwork.

During the time the team is in a PSU, the Team Supervisor should keep track of the results of the visit to each household by daily interactions with the interviewers. Once a household’s interview is declared as finalized by the interviewer and properly verified by the Supervisor, the result code from the back cover of the Sample Tracking Form or of the questionnaire will be recorded in the column labeled “*Result Code*.”

A reserve sample unit can be used *only once the team supervisor has re-visited the non-responding household to verify the impossibility* of conducting the interview. More details on the exact instances and procedures for activating a reserve household are found in Section 3.7.

### 3.5 Household ID numbers and Literacy booklet ID’s

#### 3.5.1 Household ID numbers

Each household will have a unique 6-digit identifier put on the cover page of the questionnaire. This 6 digit number comes from information on the Sample Tracking Form. Here is the place to write the household ID on the questionnaire cover:

PSU			HH No.		Check

The first 3 digits are the number of the PSU – in our example above the PSU is 101. (It is recommended to start numbering the PSU’s at 101, rather than 001, so there are no leading zeros.)

The next 2 digits of the household identifier are the household sample ID (a number from 1-30 representing which of the 30 selected households this is) from the column called “Household Sample ID”.

The final digit is the check digit associated with this household, which is in the “Check digit” column.

**Example:**

*For instance, in our Sample Tracking Sheet example for PSU 101, in Section 3.4*

*Household 1 (Emanuela Gomez) will have a household ID of 101019. The first 3 digits are the PSU (101), the next 2 are the household number (01) and the final digit is the check digit associated with household 1, which is 9 (check on the Sample Tracking Form).*

*Household 29 will have as household ID: 101295.*

### 3.5.2 Literacy Booklet ID's

Each literacy booklet must be numbered with a 4 digit number. This 4 digit number should be written or printed on the Cover Page of each Literacy Booklet and General Booklet in Headquarters.

We recommend assigning numbers from 1001 to 4999 for the General Booklets.

We recommend assigning numbers from 5001 to 8999 to the Exercise Booklets in the following way:

- Numbers 5001-5999 to Exercise Booklet type 1;
- Numbers 6001-6999 to Exercise Booklet type 2;
- Numbers 7001-7999 to Exercise Booklet type 3;
- Numbers 8001-8999 to Exercise Booklet type 4.

The Field Manager must keep track of which booklets have been given to each team, and the Team Supervisor must keep track of which booklet numbers have been assigned to each interviewer. The team supervisor will write the number of General and Exercise Booklets for each household in the appropriate columns in the Sample Tracking Sheet. (If the booklets are not ultimately used by that household for whatever reason, the Team Supervisor can cross out the number of the booklet for that household and reassign it to the replacement household. Remember that a replacement household must use the same type of Exercise Booklet (1, 2, 3, or 4) as the initial household that was replaced.

It is essential that all the General and Exercise Booklets in the field are tracked, and that all Booklets are returned to the Headquarters, used or not.

## 3.6 Maps

It is ideal that, before the field work starts, each firm has geographical maps of the selected PSUs with all the dwellings/households marked on them. These maps should be available from the Census Department of the respective country; alternatively various other sources can be used (e.g. "book of households" kept by the community leaders, where all the households and their addresses are recorded). The supervisors should be given the maps corresponding to their PSUs, and they will be responsible for each interviewer having his own map during the fieldwork whenever necessary.

Before starting the interviews of households, the interviewer should, together with his/her supervisor, familiarize him/herself with selected enumeration areas and exact location of the selected housing units. To that end, the interviewer should study maps of all enumeration areas together with the list of housing units.

The interviewer should understand the distribution of the sample (of selected dwellings/households), their mutual relations, roads and other communications in order to be able to plan his/her work.

The interviewer should be given the following material:

- Drawing of the selected area, with located settlements, and with all geographical boundaries and physical infrastructures, streets with all buildings, including housing units.
- List of housing units corresponding to each part of the sector, with information on each unit: street, number, floor, name of the head of the household, and any additional information to ensure easy identification of the household. Households from the list which should be interviewed should be highlighted.

### 3.7 Selection of One Household from a Multi-Household Dwelling

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

Often, if there is some discussion in a household about who is the head, it may indicate that there is more than one household. If a listing of dwellings rather than households took place, then the interviewer should ask straight about the number of households living together. Note that any person who keeps his/her finances separate should be treated as a separate household.

If there are more than one household in a dwelling, the interviewer must use the “*Form for Selecting one Household from a Multi-Household Dwelling*” (see Annex 5) to randomly select only one of the households for interview. In order to do so, the interviewer must:

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

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

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

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

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

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

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

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

### 3.8 The Correct Use of Reserve Sample Households

A reserve sample may be activated only after the recommended follow-up procedures have been exhausted. The cases necessitating the use of a reserve sample are described below.

A reserve sample unit is required to be activated in all cases of non-response / non-contact. Given that the interview has not begun in such a case, it is not needed to make use of a questionnaire.

The result codes for a non-response household for which a reserve sample can be activated before an interview begins are provided on the back of the *Sample Tracking Form*, and are shown

below. The team supervisors should use this list for documenting any non-response where the interview was not begun in a household. (In this case, no questionnaire will be used, and no result code entered on the back of the questionnaire. The only place the result code will be entered for these cases is on the Sample Tracking Sheet.:

code	REASON FOR ACTIVATING A RESERVE
1	<u>Household refused</u> to be interviewed (time constraints, did not want the bother, other general refusal)
2	Household refused or could not be interviewed because of <u>unusual circumstance</u> (death in family, illness, fire in dwelling, etc)
3	<u>No knowledgeable household member could be found</u> , after 3 revisits (only child, non-competent adult, etc)
4	<u>Temporarily absent/</u> unavailable for field period (information from others)
5	<u>No competent household member</u> to interview (because of severe illness, mental disability, etc)
6	<u>Language problem</u> - no one in the household spoke a language that could be understood by survey team, and no translator available SPECIFY LANGUAGE _____
7	Dwelling could not be found/ given address has no household
8	Dwelling is empty
9	Dwelling is no longer habitable/ dwelling is destroyed/ dwelling has been changed to commercial use.

A reserve sample unit is also required to be activated in the following cases where an interview has begun (meaning that a questionnaire has been used). The interview result code (see Annex 3 for a full list of the interview result codes to be used by interviewers) and comments on the reason for using a reserve sample unit to compensate for a non-response household will be recorded on the back cover of the questionnaire by the interviewer, and the Team Supervisor should record this same result code on the *Sample Tracking Form*.

- a. The interview stops during Module 1 (result codes 21, 22) - a full description of all reasons to be given on the back cover.
- b. No eligible household member for the Individual modules 2-7 (result code 31);
- c. Selected individual refuses or cannot start the Individual modules 2-7 (result codes 32-37, and 39-40). A full description of all reasons to be given on the back cover.

**No reserve sample unit is required if the Individual modules 2-7 are started** but are stopped or interrupted (result codes 51/52). However, it is envisioned there will be few occurrences of this case in the field. The firms should carefully monitor the field operations and the result codes; if there are too many of these cases, a detailed analysis of the situation will take place, the STEP Core team will be informed immediately, and adjustments will be made if appropriate. The Team Supervisor will visit each such household to check the reasons, and (unless in usual circumstances such as a death in the family) will endeavor to convince the individual respondent to resume.

Also, no reserve sample is required in the following cases:

- d. The individual does not begin the General Booklet.
- e. The individual fails to pass Section B in the General Booklet. However, the countries will continuously monitor these cases and will send weekly updates to the STEP Core team. If the failure rate in the field is much higher than expected, adjustments might be made during the fieldwork (given that the firm may have overestimated the success rate).
- f.
- g. The individual stops at any time during the Reading Exercises Module. For situations where the individual stops during the Reading Exercises Module and refuses to attempt all the items, the Supervisor will revisit 100% of such cases to verify the circumstances.

## **Practical field considerations related to using reserve sample households for absent individuals**

We distinguish two types of PSU's: (i) Type 1 PSU's in larger centers where an interview team (or teams) will be in the urban center for the whole field time or a large part of it; and (ii) Type 2 PSU's where the team will visit this PSU (or few neighboring PSU's) for a pre-determined time period (e.g. 3 weeks) and then will leave, with none returning except for a Field Supervisor for verification and revisits.

1. For Type 1 PSU's (in larger urban centers or areas where the teams will be for the whole field time or an extended time):

NOTE: For these PSU's the field time is the remaining time a team or teams will be in the urban center/area, which can be several months if the PSU is visited early in the schedule, or only several weeks if this household is one of the last PSU's visited in this urban center/area.

- i. If the household credibly informs the interviewer that the selected individual will not be back for the entire field time (and the Supervisor verifies this with the household) the code 36 (individual absent for the entire field period) will be assigned to the case. In this situation, a reserve sample unit should be activated to compensate for the non-response.
  - ii. If the household informs the interviewer that the selected individual is absent but may be back or will be back within the field period, the team should continue to try to find the respondent until the last week of the field time (in at least three revisits). At that time it should use a reserve sample unit if it has not succeeded in finding the individual (coding as 35 the result of the interview for the initial household).
  - iii. If the household is contacted but cannot give specific information on when the selected individual might be contacted, the team should continue to try to find the respondent until the last week of the field time (in at least three revisits), at which time it should use a reserve sample unit if it has not succeeded in finding the individual (coding as 35 the result of the interview for the initial household).
2. For Type 2 PSU's (where the team will visit this PSU (or few neighboring PSU's) for a pre-determined time period and then will leave, with none returning except for a Field Supervisor for verification and revisits)

NOTE: For these PSU's the field time is the time a team is in the PSU or the area near the PSU from which they can revisit without a large cost in time or travel expenses, plus the time the revisit will be made to the PSU by Field Supervisors for revisit and verification.

- i. If the household credibly informs the interviewer that the selected individual will not be back for the entire field time (and the supervisor verifies this with the household) the code 36 (individual absent for the entire field period) will be assigned to the case. In this situation, a reserve sample unit should be activated to compensate for the non-response.
- ii. If the household informs that the selected individual will be absent for the days the team is in the PSU, but may be back or will be back during the revisit time of the Field Supervisor, the Supervisor can decide to not use a reserve household hoping that the Field Supervisor who revisits can complete the individual modules with the individual. It is advised that the Field Supervisor will have no more than one such interview to

complete, otherwise this additional task might interfere with his usual supervision duties. (And it may be that the individual is not contactable in the revisit time, in which case a reserve sample unit will be used. Module 1 and the all the individual modules will have to be administered).

If there are several such cases in a PSU, the Supervisor should judge which one is the most likely to yield a completed interview, from the information the household provides or by contacting the selected individual by phone (if possible). All the cases deemed unlikely to yield a completed interview will be compensated, upon a rigorous written explanation, by using reserve sample households while the team is still in the PSU.

- iii. If the team cannot find the individual after three trials during the time in the PSU, and there is no concrete information from the household on the individual's future availability, the Supervisor should release a reserve sample household while the team is still in the PSU.

When releasing a reserve sample household, the Supervisor should pay attention in the assignment of the correct Exercise Booklet type. The released reserve should be assigned the same Exercise Booklet type as the household it replaces.

For example, let's assume that household #4 in the Target Households sample on the Sample Tracking Form is assigned Exercise Booklet type 3, but the household refused to be interviewed (even after the Supervisor tried to convert their non-response). Then the released reserve sample household that will be interviewed instead will be assigned the same Exercise Booklet type – 3 – as the replaced household. This booklet type will be recorded by the Supervisor in the Sample Tracking Form.

## 4 Quality Assurance

### 4.1 The Role of the Team Supervisor

The role of the Team Supervisors (Supervisors) is to organize and direct the data collection at the PSU level, including any logistical and technical details, and to ensure that the data collected is of the required quality. The Supervisors have the following specific tasks:

1. **Public relations:** Establish contact with local authorities in each PSU (introduction of the project and request for assistance); deliver letters, brochures and any other materials and information deemed necessary; establish contact with the households/individuals and ensure their willingness to participate in the survey.
2. **Coordination of the fieldwork:** Manage the field logistics and finances; monitor the condition of the survey equipment assigned to interviewers and data entry operator (if applicable); ensure the existence of maps; coordinate the listing operation and selection of the households; assign a list of households to each interviewer; confirm with the Field Manager the release of a reserve household; ensure that local translators (for local dialects) are available, and that each interviewer has a copy of Module 6 Part A translated in local dialects.

3. **Timeliness:** Ensure that the assigned interviews per PSU (e.g. 15 households) are conducted within the allotted time; ensure the time allocated to complete the work in each PSU reflects the field reality (some PSUs might need longer/shorter time to complete)
4. **Coordinate the assignment of the Literacy Booklets:** Disperse the four types of Exercise Booklets to the interviewers following the correct assignment as indicated for each household on the Sample Tracking Form, and properly assign them to reserve households, if used.
5. **Quality control:** monitor, check and assess the quality of the work of each enumerator; review the questionnaires for completeness, consistency and accuracy:
  - **Interview observation:** performing random spot visits during interviewers' work and observing household interviews as they are conducted to ensure that the instructions in the manuals and the recommendations given during staff training are being followed; filling in the Interviewer Evaluation Form for each interview observed;
  - **Revision of the completed questionnaires:** going through the accepted questionnaires and filling in the Visual Scrutiny Form for each accepted questionnaire;
  - **Check-ups:** re-visiting/calling randomly selected households and filling in the Check-Up Visit Form.
6. **Communications with headquarters:** keep in regular contact with the Field Manager; send the data regularly to Headquarters; ensure that the Field Manager is constantly informed about the stage of the fieldwork and the issues; exchange information between headquarters and field teams.

## 4.2 Supervision – Quality Control

The aim of all the checks mentioned in this Section is twofold:

1. To keep track of the evolution of the fieldwork (e.g. completion/use of reserve household rates, timing)
2. To inform about the quality of data collection work: the Supervisor will use the information gathered in the field in order to improve the work of the interviewers (where necessary). If major deviations are found in the work of a particular interviewer, the Supervisor should be ready to request a replacement interviewer, and that interviewer's work will have to be re-done.

The checks are of utmost importance, especially at the beginning of the fieldwork when errors will undoubtedly be made. It is therefore essential to notice the errors early, in order to correct them and teach the interviewers the proper protocol if necessary. It is also important that the Supervisors communicate these errors to the Project Manager, so all the other Supervisors are informed and are prepared if the same situation arise in their PSUs.

All the supervision forms must be sent to the Headquarters, together with the finalized questionnaires, once the fieldwork is completed in a certain PSU.

#### 4.2.1 Households with Specific Circumstances Requiring a Supervisor's Visit

The Supervisor's main role in the PSU is to be available at all times to ensure that the interviewers are properly doing their work. A large part of this responsibility is to ensure households/individuals cooperation in cases where the interviewers fail to do so. Therefore, the Supervisors will **always** have to visit the following types of households (100% revisits by the supervisor):

Households that require the activation of a reserve sample household:

- a. Households who refuse the interview, or who do not begin the interview because of special circumstances (result codes 1, 2)
- b. Households where the interview stops before finishing Module 1, part A – Household Roster (result code 21, 22)
- c. Households where the selected individual is not able to begin the questionnaire because of refusal, absence, special circumstances, or any other reasons (result codes 32-37, 39-40)

Households where the individual modules were begun but not completed (no reserve sample household is activated):

- d. Households where the individual stops without finishing the individual modules 2-7 and refuses to continue (result codes 51, 52)
- e. Household where the individual refuses to start Module 9 (the Reading Exercises module) (result codes 62,63)
- f. Households where the individual refuses to continue with the Reading Exercises module (result code 72) In this case, the supervisor does not want to convince the respondent to continue with the module, since it must be done in one sitting, but will verify why he/she refused to continue.

#### 4.2.2 Visual Scrutiny of Finalized Questionnaires

As soon as the questionnaires are received from interviewers as finalized and confirmed as finalized by the Supervisor (for the cases where this is necessary, see Section 4.2.1), the Supervisor is responsible for visually checking the questionnaires. This task should be carried out before the team leaves the PSU and before the finalized questionnaires are sent to the Headquarters, so that any inconsistencies can be resolved while still in the PSU.

The Supervisor is required to fill in the Supervisor Form 1: Visual Scrutiny Form (see a copy in Annex 6) for all the finalized questionnaires. The Visual Scrutiny Form requires the Supervisor to pay extra-attention to the identification variables, to certain questions, to skip patterns, and to make sure that the text written in by the interviewers on economic activity and occupations are legibly written and have the appropriate amount of detail. For the latter, the Supervisors should use Annex 1 and Annex 2 to decide whether the economic activity and occupations can be properly coded at a 3-digit level.

If errors are found or more details are needed, it is up to Supervisor to choose whether to send the interviewers back in the field or whether the issues can be followed-up by phone in order to correct them. The Supervisor will keep track of these follow-ups and the dates they were resolved on the back of the Form.

### 4.2.3 Interviewers' Evaluation during Fieldwork

The Supervisor's duty is also to routinely observe interviews (randomly selected, on different days and different times of the day for each interviewer) with no advance notice, especially in the beginning of the fieldwork. It is essential that interviewers do not know in advance for which households they will be accompanied. The aim of this check is to observe the interviewer behavior and record it in the Supervisor Form 2: Interviewer Evaluation Form (see example in Annex 7). The Supervisor will be asked to pay attention to the following:

- 1 Comportment of the Interviewer
- 2 Interview of Respondents
- 3 Time Spent on the Interview
- 4 Impartiality in the Individual Interview

The Supervisor should conduct this evaluation of the interviewers more frequently during the first weeks of the fieldwork, and do it only every two or three PSUs once the interviewers get familiar with the interviewing method. The Supervisor should sit in on interviews more often with interviewers that need more guidance.

### 4.2.4 Random Verification Visits

A follow-up is required for 15% of the household interviewed by revisiting in person. If the individual respondent is not in the household at the time of the revisit, the follow-up after that can be by telephone, but the firm must ensure that at least 10% of the households (that is 2/3 of the revisited 15% of the households) have a revisit with the individual respondent so that his/her height can be measured. (If in the early PSU's the percentage falls below 10%, in later PSU's the firm will have to allow more time for revisits to find the individual respondents.)

The households to be checked will be randomly selected by the Field Manager/Project Manager and will be communicated to the Supervisor for each PSU.

It is expected that a verification visit will take about 15 minutes with the household/individual. If an individual respondent is not present during the revisit, the Supervisor will ask permission to call back in person or by telephone in order to ask the questions referring to this individual's interview.

During the revisit, the Supervisor will use the Supervisor Form 3: Check-Up Visit Form (see Annex 8) in order to guide the process. In addition to asking general questions in order to verify whether the questionnaire was correctly filled, the Supervisor will have to measure and record the height of the individual respondent, if he is present.

If the Team Supervisor cannot finish the verification revisits during the team's time in the PSU, the Field Supervisor or other field support staff may have to help in the revisits. This may be especially true if households interviewed in the last few days in the PSU are slated for revisit.

#### 4.2.4.1 Height Measurement

When the Team Supervisor (or another field staff member) personally revisits 15 percent of the households to check the accuracy of interviewers' work, he/she will request permission to measure the height of any individual respondent who is present when he visits the household.

The height measurement methodology is presented below.

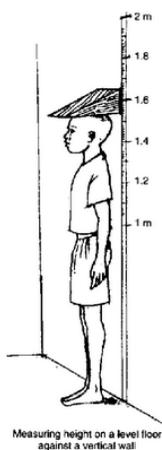
### **Instructions for height measurement**

Height should be measured for all participants (individual respondents) except wheelchair bound individuals, persons who have difficulty standing steady or straight, and participants with a hairstyle or a head-dress (e.g., a turban) that prevents the proper measurement of height.

A flat, hard floor surface should be used when measuring the height of a participant.

### ***Normal height measurement procedure***

1. Participants are asked to remove their shoes, heavy outer garments, and hair ornaments.
2. The participant is asked to stand with his/her back to the wall or door (walls without baseboards are best). The back of the head, back, buttocks, calves and heels should be touching the wall, feet together and knees straight. The participant is asked to look straight ahead. (The top of the external ear canal should be level with the cheek bone). The interviewer should adjust head to be straight if necessary.
3. The wooden drafting triangle should be placed on the head of the person, pressing against the hair, and a small pencil mark made on the wall where the right angle of the triangle touches.



4. The participant should be asked to move away from the wall, and the interviewer should measure the height from the base to the mark on the wall, recording the height to the nearest centimeter. This height figure should be entered , as the last line of the Supervisor Form 3: Check-up Visit.

## 4.3 General Field Supervision

A Team Supervisor is responsible for supervising the interviewers in his or her team, but the possibility always exists that s/he will make mistakes or stray from the ethos of the mission. Therefore, a procedure to evaluate the Team Supervisors' work must also be planned. The <Firm>'s core team should plan to visit the teams in the field, either through the Project Manager and/or Field Manager, or through a small team of highly-trained Field Supervisors. They should verify the Team Supervisors' work by

- a. randomly selecting some households for revisits – in which case the Field Supervisors will use the Check-Up Visit Form when verifying a Team Supervisor’s revisit;
- b. randomly accompanying some interviewers and use the Interviewer Evaluation Form in order to assess the interviewer’s behavior. Their forms will be then compared with the Team Supervisor’s assessments;
- c. randomly checking finalized questionnaires through the Visual Scrutiny Form, and afterwards compare this with the form submitted by the Team Supervisor.

The <Firm>’s core team should also implement methods of controlling the fieldwork from a distance. For instance,

- Each field team could be required to use a cell phone (or satellite phone) to send SMS messages to report on the status of the fieldwork: the number of dwellings or households found during the listing operation, the actual dates on which fieldwork began and ended in each PSU.
- A centralized logbook should be kept to record the advancement of the fieldwork and other operational problems such as an abnormal number of interview refusals, staff illness, and anything else which requires supervision and/or support from headquarters.
- Operational problems and incorrect field procedures should be continually assessed and resolved, where necessary by sending a specific supervision mission to correct problems in the field.

## 5 Data Management

Data Management refers to the process of entering the data from the paper questionnaires into the computers. The entry will be done in the central office.

The firm’s Data Processing Manager should be given the STEP Household Questionnaire *Guidelines for Data Processing*.

### 5.1 Data Editing

Once a team finalizes all the <15> interviews in one PSU (see Section 6.1 for a definition of finalized/accepted interviews) and moves to the next PSU, the Supervisor should immediately send the paper questionnaires and the completed supervision forms to the <Firm>’s Headquarters.

The objective is to start entering the data from a specific PSU no longer than 5 days after the work was completed in that PSU. The <Firm> should find the fastest and safest way of sending the questionnaires between field and Headquarters.

Once at the Headquarters, a team of Editors should edit/code the

1. Occupation information from the Household Questionnaire using the ‘*International Standard Classification of Occupations (ISCO 08)*’ found in Annex 1. The level of disaggregation should be 3-digit;

2. Industry information from the Household Questionnaire using the ‘*International Standard Industrial Classification of All Economic Activities, Fourth Revision*’ found in Annex 2. The level of disaggregation should be 3-digit;
3. All the “Others (specify)” answers – the write-in should be coded appropriately. The number-codes should be labeled adequately, and the labels provided to the STEP Consortium.

Once this operation is performed, the data entry can start.

## **Data Processing**

The steps in data processing are contained in a separate document: the STEP Household Questionnaire *Guidelines for Data Processing*. The Data Processing Manager should be given this document and should follow its steps for consistent data treatment across countries. The document consists of the guidelines and two Excel files:

- 1) Guidelines for Data Processing (Word file)
- 2) STEP Skills Measurement\_Template\_Weekly Report\_Full & Partial\_Wave3.xlsx (Excel file)
- 3) STEP\_variables\_Wave3.xlsx (Excel file)

## **6 Flow of Materials and Reports**

### 6.1 Operational Definitions

#### **Accepted questionnaires**

To be accepted as part of the <3,000> questionnaires (the proposed sample size), the individual modules must have been begun by the selected individual respondent in a household.

Thus from each PSU, STEP Consortium expects <15> acceptable, finalized, questionnaires, meaning that the Individual Respondent at least began to answer Modules 2-7. (As a note, it is expected there will be very few cases where a respondent begins modules 2-7 and does not finish them.)

Then after completing modules 2-7, the interviewer will encourage the respondent to go as far as his abilities allow in the reading exercises.

*The number of questionnaires in which the respondent has completed the reading exercises module depends on the reading level of the respondents, and also on how diligent the interviewers are at encouraging and overseeing the administration of the reading exercises.*

### 6.2 Flow of Materials and Reports

There are at least three main levels of communication during the survey work:

1. Between the interviewers and the Team Supervisor;

2. Between the Team Supervisor and the Field Supervisors/Field Manager/Project Manager; and
3. Between the Project Manager and the STEP Consortium.

### 6.2.1 Communications Between Interviewers and their Team Supervisor

The interviewer must hand over to his/her Supervisor properly filled questionnaires and reading exercise booklets, and report all the information about the field work he/she has conducted. If the interview could not begin due to various reasons, the interviewers must report this to the Team Supervisor, who will visit the household to verify the situation, and in the case of a refusal, to try to convince the household to participate.

The interviewers should also have handy the *Form for Selecting One Household from a Multi-Household Dwelling* for the Supervisors to check. At the end of the PSU, they should hand this form to the Supervisor.

The interviewer should report to the Team Supervisor any issue or problem faced in the field, e.g. in terms of maps, household identification, incomplete questionnaires, respondents behavior and opinion, scheduled subsequent visits, absent household members, etc. in order to resolve problems in the field.

Also, the interviewer should report any other observation that the interviewer thinks that the Team Supervisor should be informed about for the sake of successful fieldwork.

### 6.2.2 Communications Between the Team Supervisors and the Field Supervisory Staff

The Team Supervisor will have the *Sample Tracking Form* up-to-date at any moment for a PSU. He will regularly update the Field Supervisors/Field Manager/Project Manager on the summary of results of conducted interviews: number of filled questionnaires, list of housing units which were not completed for any reason (could not be located, no one in the dwelling, or partly or completely refused (and at which stage)). The Sample Tracking Sheet will enable the Team Supervisor to report on the number of reserve households used from the list of reserves, and the reason for the non-response for each originally selected household.

The Team Supervisor should always consult with the Field Supervisors/Field Manager/Project Manager and ask permission for the release of reserve sample households.

At the end of the field work in a PSU, the Team Supervisor should immediately send to the Headquarters all the finalized questionnaires, together with the Sample Tracking Form and all the supervisor forms filled for that PSU.

### 6.2.3 Communications Between the Project Manager and the STEP Consortium

In all his communications with the STEP Consortium, the Project Manager should copy the following persons:

- a. WB country team
- b. Alexandria Valerio - [Avalerio@worldbank.org](mailto:Avalerio@worldbank.org)
- c. Maria-Laura Sanchez Puerta - [msanchezpuerta@worldbank.org](mailto:msanchezpuerta@worldbank.org)
- d. Myra Khan - [mkhan25@worldbank.org](mailto:mkhan25@worldbank.org)
- e. Valerie Evans - [val.evans@gmail.com](mailto:val.evans@gmail.com)

Firms should submit:

- a Weekly Report, based on the STEP Template (see details in the Data Processing Guidelines)
- data files, as per reporting procedures agreed upon between the STEP Consortium and the <FIRM>
- any other document or information requested by the STEP Consortium (e.g., Sample Tracking Forms, Household Listings).

## **Annex 1. International Standard Classification of Occupations (ISCO 08)**

The following classification will be used for coding the questions referring to **occupations** (<http://www.ilo.org/public/english/bureau/stat/isco/>)

Major groups, sub-major groups and minor groups:

### **1 - Managers**

- 11 - Chief executives, senior officials and legislators
  - 111 - Legislators and senior officials
  - 112 - Managing directors and chief executives
- 12 - Administrative and commercial managers
  - 121 - Business services and administration managers
  - 122 - Sales, marketing and development managers
- 13 - Production and specialized services managers
  - 131 - Production managers in agriculture, forestry and fisheries
  - 132 - Manufacturing, mining, construction, and distribution managers
  - 133 - Information and communications technology service managers
  - 134 - Professional services managers
- 14 - Hospitality, retail and other services managers
  - 141 - Hotel and restaurant managers
  - 142 - Retail and wholesale trade managers
  - 143 - Other services managers

### **2 - Professionals**

- 21 - Science and engineering professionals
  - 211 - Physical and earth science professionals
  - 212 - Mathematicians, actuaries and statisticians
  - 213 - Life science professionals
  - 214 - Engineering professionals (excluding electrotechnology)
  - 215 - Electrotechnology engineers
  - 216 - Architects, planners, surveyors and designers
- 22 - Health professionals
  - 221 - Medical doctors
  - 222 - Nursing and midwifery professionals
  - 223 - Traditional and complementary medicine professionals
  - 224 - Paramedical practitioners
  - 225 - Veterinarians
  - 226 - Other health professionals
- 23 - Teaching professionals
  - 231 - University and higher education teachers
  - 232 - Vocational education teachers
  - 233 - Secondary education teachers
  - 234 - Primary school and early childhood teachers
  - 235 - Other teaching professionals
- 24 - Business and administration professionals
  - 241 - Finance professionals
  - 242 - Administration professionals

- 243 - Sales, marketing and public relations professionals
- 25 - Information and communications technology professionals
  - 251 - Software and applications developers and analysts
  - 252 - Database and network professionals
- 26 - Legal, social and cultural professionals
  - 261 - Legal professionals
  - 262 - Librarians, archivists and curators
  - 263 - Social and religious professionals
  - 264 - Authors, journalists and linguists
  - 265 - Creative and performing artists

### **3 - Technicians and associate professionals**

- 31 - Science and engineering associate professionals
  - 311 - Physical and engineering science technicians
  - 312 - Mining, manufacturing and construction supervisors
  - 313 - Process control technicians
  - 314 - Life science technicians and related associate professionals
  - 315 - Ship and aircraft controllers and technicians
- 32 - Health associate professionals
  - 321 - Medical and pharmaceutical technicians
  - 322 - Nursing and midwifery associate professionals
  - 323 - Traditional and complementary medicine associate professionals
  - 324 - Veterinary technicians and assistants
  - 325 - Other health associate professionals
- 33 - Business and administration associate professionals
  - 331 - Financial and mathematical associate professionals
  - 332 - Sales and purchasing agents and brokers
  - 333 - Business services agents
  - 334 - Administrative and specialized secretaries
  - 335 - Regulatory government associate professionals
- 34 - Legal, social, cultural and related associate professionals
  - 341 - Legal, social and religious associate professionals
  - 342 - Sports and fitness workers
  - 343 - Artistic, cultural and culinary associate professionals
- 35 - Information and communications technicians
  - 351 - Information and communications technology operations and user support technicians
  - 352 - Telecommunications and broadcasting technicians

### **4 - Clerical support workers**

- 41 - General and keyboard clerks
  - 411 - General office clerks
  - 412 - Secretaries (general)
  - 413 - Keyboard operators
- 42 - Customer services clerks
  - 421 - Tellers, money collectors and related clerks
  - 422 - Client information workers
- 43 - Numerical and material recording clerks
  - 431 - Numerical clerks
  - 432 - Material-recording and transport clerks
- 44 - Other clerical support workers

441 - Other clerical support workers

**5 - Service and sales workers**

51 - Personal service workers

511 - Travel attendants, conductors and guides

512 - Cooks

513 - Waiters and bartenders

514 - Hairdressers, beauticians and related workers

515 - Building and housekeeping supervisors

516 - Other personal services workers

52 - Sales workers

521 - Street and market salespersons

522 - Shop salespersons

523 - Cashiers and ticket clerks

524 - Other sales workers

53 - Personal care workers

531 - Child care workers and teachers' aides

532 - Personal care workers in health services

54 - Protective services workers

541 - Protective services workers

**6 - Skilled agricultural, forestry and fishery workers**

61 - Market-oriented skilled agricultural workers

611 - Market gardeners and crop growers

612 - Animal producers

613 - Mixed crop and animal producers

62 - Market-oriented skilled forestry, fishery and hunting workers

621 - Forestry and related workers

622 - Fishery workers, hunters and trappers

63 - Subsistence farmers, fishers, hunters and gatherers

631 - Subsistence crop farmers

632 - Subsistence livestock farmers

633 - Subsistence mixed crop and livestock farmers

634 - Subsistence fishers, hunters, trappers and gatherers

**7 - Craft and related trades workers**

71 - Building and related trades workers, excluding electricians

711 - Building frame and related trades workers

712 - Building finishers and related trades workers

713 - Painters, building structure cleaners and related trades workers

72 - Metal, machinery and related trades workers

721 - Sheet and structural metal workers, moulders and welders, and related workers

722 - Blacksmiths, toolmakers and related trades workers

723 - Machinery mechanics and repairers

73 - Handicraft and printing workers

731 - Handicraft workers

732 - Printing trades workers

74 - Electrical and electronic trades workers

741 - Electrical equipment installers and repairers

742 - Electronics and telecommunications installers and repairers

- 75 - Food processing, wood working, garment and other craft and related trades workers
  - 751 - Food processing and related trades workers
  - 752 - Wood treaters, cabinet-makers and related trades workers
  - 753 - Garment and related trades workers
  - 754 - Other craft and related workers

**8 - Plant and machine operators, and assemblers**

- 81 - Stationary plant and machine operators
  - 811 - Mining and mineral processing plant operators
  - 812 - Metal processing and finishing plant operators
  - 813 - Chemical and photographic products plant and machine operators
  - 814 - Rubber, plastic and paper products machine operators
  - 815 - Textile, fur and leather products machine operators
  - 816 - Food and related products machine operators
  - 817 - Wood processing and papermaking plant operators
  - 818 - Other stationary plant and machine operators
- 82 - Assemblers
  - 821 - Assemblers
- 83 - Drivers and mobile plant operators
  - 831 - Locomotive engine drivers and related workers
  - 832 - Car, van and motorcycle drivers
  - 833 - Heavy truck and bus drivers
  - 834 - Mobile plant operators
  - 835 - Ships' deck crews and related workers

**9 - Elementary occupations**

- 91 - Cleaners and helpers
  - 911 - Domestic, hotel and office cleaners and helpers
  - 912 - Vehicle, window, laundry and other hand cleaning workers
- 92 - Agricultural, forestry and fishery labourers
  - 921 - Agricultural, forestry and fishery labourers
- 93 - Labourers in mining, construction, manufacturing and transport
  - 931 - Mining and construction labourers
  - 932 - Manufacturing labourers
  - 933 - Transport and storage labourers
- 94 - Food preparation assistants
  - 941 - Food preparation assistants
- 95 - Street and related sales and service workers
  - 951 - Street and related service workers
  - 952 - Street vendors (excluding food)
- 96 - Refuse workers and other elementary workers
  - 961 - Refuse workers
  - 962 - Other elementary workers

**0 - Armed forces occupations**

- 01 - Commissioned armed forces officers
  - 011 - Commissioned armed forces officers
- 02 - Non-commissioned armed forces officers
  - 021 - Non-commissioned armed forces officers
- 03 - Armed forces occupations, other ranks
  - 031 - Armed forces occupations, other ranks

## **Annex 2. International Standard Industrial Classification of Economic Activities, Rev.4**

The following classification will be used for coding the questions referring to **economic activities** (<http://unstats.un.org/unsd/cr/registry/regcst.asp?Cl=27>).

### **A - Agriculture, forestry and fishing**

- 01 - Crop and animal production, hunting and related service activities
  - 011 - Growing of non-perennial crops
  - 012 - Growing of perennial crops
  - 013 - Plant propagation
  - 014 - Animal production
  - 015 - Mixed farming
  - 016 - Support activities to agriculture and post-harvest crop activities
  - 017 - Hunting, trapping and related service activities
- 02 - Forestry and logging
  - 021 - Silviculture and other forestry activities
  - 022 - Logging
  - 023 - Gathering of non-wood forest products
  - 024 - Support services to forestry
- 03 - Fishing and aquaculture
  - 031 - Fishing
  - 032 - Aquaculture

### **B - Mining and quarrying**

- 05 - Mining of coal and lignite
  - 051 - Mining of hard coal
  - 052 - Mining of lignite
- 06 - Extraction of crude petroleum and natural gas
  - 061 - Extraction of crude petroleum
  - 062 - Extraction of natural gas
- 07 - Mining of metal ores
  - 071 - Mining of iron ores
  - 072 - Mining of non-ferrous metal ores
- 08 - Other mining and quarrying
  - 081 - Quarrying of stone, sand and clay
  - 089 - Mining and quarrying not elsewhere classified
- 09 - Mining support service activities
  - 091 - Support activities for petroleum and natural gas extraction
  - 099 - Support activities for other mining and quarrying

### **C - Manufacturing**

- 10 - Manufacture of food products
  - 101 - Processing and preserving of meat
  - 102 - Processing and preserving of fish, crustaceans and molluscs
  - 103 - Processing and preserving of fruit and vegetables
  - 104 - Manufacture of vegetable and animal oils and fats
  - 105 - Manufacture of dairy products

- 106 - Manufacture of grain mill products, starches and starch products
- 107 - Manufacture of other food products
- 108 - Manufacture of prepared animal feeds
- 11 - Manufacture of beverages
  - 110 - Manufacture of beverages
- 12 - Manufacture of tobacco products
  - 120 - Manufacture of tobacco products
- 13 - Manufacture of textiles
  - 131 - Spinning, weaving and finishing of textiles
  - 139 - Manufacture of other textiles
- 14 - Manufacture of wearing apparel
  - 141 - Manufacture of wearing apparel, except fur apparel
  - 142 - Manufacture of articles of fur
  - 143 - Manufacture of knitted and crocheted apparel
- 15 - Manufacture of leather and related products
  - 151 - Tanning and dressing of leather; manufacture of luggage, handbags, saddlery and harness; dressing and dyeing of fur
  - 152 - Manufacture of footwear
- 16 - Manufacture of wood and of products of wood and cork, except furniture; manufacture of articles of straw and plaiting materials
  - 161 - Sawmilling and planing of wood
  - 162 - Manufacture of products of wood, cork, straw and plaiting materials
- 17 - Manufacture of paper and paper products
  - 170 - Manufacture of paper and paper products
- 18 - Printing and reproduction of recorded media
  - 181 - Printing and service activities related to printing
  - 182 - Reproduction of recorded media
- 19 - Manufacture of coke and refined petroleum products
  - 191 - Manufacture of coke oven products
  - 192 - Manufacture of refined petroleum products
- 20 - Manufacture of chemicals and chemical products
  - 201 - Manufacture of basic chemicals, fertilizers and nitrogen compounds, plastics and synthetic rubber in primary forms
  - 202 - Manufacture of other chemical products
  - 203 - Manufacture of man-made fibres
- 21 - Manufacture of basic pharmaceutical products and pharmaceutical preparations
  - 210 - Manufacture of pharmaceuticals, medicinal chemical and botanical products
- 22 - Manufacture of rubber and plastics products
  - 221 - Manufacture of rubber products
  - 222 - Manufacture of plastics products
- 23 - Manufacture of other non-metallic mineral products
  - 231 - Manufacture of glass and glass products
  - 239 - Manufacture of non-metallic mineral products not elsewhere classified.
- 24 - Manufacture of basic metals
  - 241 - Manufacture of basic iron and steel
  - 242 - Manufacture of basic precious and other non-ferrous metals
  - 243 - Casting of metals
- 25 - Manufacture of fabricated metal products, except machinery and equipment
  - 251 - Manufacture of structural metal products, tanks, reservoirs and steam generators
  - 252 - Manufacture of weapons and ammunition

- 259 - Manufacture of other fabricated metal products; metalworking service activities
- 26 - Manufacture of computer, electronic and optical products
  - 261 - Manufacture of electronic components and boards
  - 262 - Manufacture of computers and peripheral equipment
  - 263 - Manufacture of communication equipment
  - 264 - Manufacture of consumer electronics
  - 265 - Manufacture of measuring, testing, navigating and control equipment; watches and clocks
  - 266 - Manufacture of irradiation, electro-medical and electrotherapeutic equipment
  - 267 - Manufacture of optical instruments and photographic equipment
  - 268 - Manufacture of magnetic and optical media
- 27 - Manufacture of electrical equipment
  - 271 - Manufacture of electric motors, generators, transformers and electricity distribution and control apparatus
  - 272 - Manufacture of batteries and accumulators
  - 273 - Manufacture of wiring and wiring devices
  - 274 - Manufacture of electric lighting equipment
  - 275 - Manufacture of domestic appliances
  - 279 - Manufacture of other electrical equipment
- 28 - Manufacture of machinery and equipment not elsewhere classified.
  - 281 - Manufacture of general-purpose machinery
  - 282 - Manufacture of special-purpose machinery
- 29 - Manufacture of motor vehicles, trailers and semi-trailers
  - 291 - Manufacture of motor vehicles
  - 292 - Manufacture of bodies (coachwork) for motor vehicles; manufacture of trailers and semi-trailers
  - 293 - Manufacture of parts and accessories for motor vehicles
- 30 - Manufacture of other transport equipment
  - 301 - Building of ships and boats
  - 302 - Manufacture of railway locomotives and rolling stock
  - 303 - Manufacture of air and spacecraft and related machinery
  - 304 - Manufacture of military fighting vehicles
  - 309 - Manufacture of transport equipment not elsewhere classified.
- 31 - Manufacture of furniture
  - 310 - Manufacture of furniture
- 32 - Other manufacturing
  - 321 - Manufacture of jewellery, bijouterie and related articles
  - 322 - Manufacture of musical instruments
  - 323 - Manufacture of sports goods
  - 324 - Manufacture of games and toys
  - 325 - Manufacture of medical and dental instruments and supplies
  - 329 - Other manufacturing not elsewhere classified
- 33 - Repair and installation of machinery and equipment
  - 331 - Repair of fabricated metal products, machinery and equipment
  - 332 - Installation of industrial machinery and equipment

**D - Electricity, gas, steam and air conditioning supply**

- 35 - Electricity, gas, steam and air conditioning supply
  - 351 - Electric power generation, transmission and distribution
  - 352 - Manufacture of gas; distribution of gaseous fuels through mains

353 - Steam and air conditioning supply

**E - Water supply; sewerage, waste management and remediation activities**

36 - Water collection, treatment and supply

360 - Water collection, treatment and supply

37 - Sewerage

370 - Sewerage

38 - Waste collection, treatment and disposal activities; materials recovery

381 - Waste collection

382 - Waste treatment and disposal

383 - Materials recovery

39 - Remediation activities and other waste management services

390 - Remediation activities and other waste management services

**F - Construction**

41 - Construction of buildings

410 - Construction of buildings

42 - Civil engineering

421 - Construction of roads and railways

422 - Construction of utility projects

429 - Construction of other civil engineering projects

43 - Specialized construction activities

431 - Demolition and site preparation

432 - Electrical, plumbing and other construction installation activities

433 - Building completion and finishing

439 - Other specialized construction activities

**G - Wholesale and retail trade; repair of motor vehicles and motorcycles**

45 - Wholesale and retail trade and repair of motor vehicles and motorcycles

451 - Sale of motor vehicles

452 - Maintenance and repair of motor vehicles

453 - Sale of motor vehicle parts and accessories

454 - Sale, maintenance and repair of motorcycles and related parts and accessories

46 - Wholesale trade, except of motor vehicles and motorcycles

461 - Wholesale on a fee or contract basis

462 - Wholesale of agricultural raw materials and live animals

463 - Wholesale of food, beverages and tobacco

464 - Wholesale of household goods

465 - Wholesale of machinery, equipment and supplies

466 - Other specialized wholesale

469 - Non-specialized wholesale trade

47 - Retail trade, except of motor vehicles and motorcycles

471 - Retail sale in non-specialized stores

472 - Retail sale of food, beverages and tobacco in specialized stores

473 - Retail sale of automotive fuel in specialized stores

474 - Retail sale of information and communications equipment in specialized stores

475 - Retail sale of other household equipment in specialized stores

476 - Retail sale of cultural and recreation goods in specialized stores

477 - Retail sale of other goods in specialized stores

478 - Retail sale via stalls and markets

479 - Retail trade not in stores, stalls or markets

## **H - Transportation and storage**

- 49 - Land transport and transport via pipelines
  - 491 - Transport via railways
  - 492 - Other land transport
  - 493 - Transport via pipeline
- 50 - Water transport
  - 501 - Sea and coastal water transport
  - 502 - Inland water transport
- 51 - Air transport
  - 511 - Passenger air transport
  - 512 - Freight air transport
- 52 - Warehousing and support activities for transportation
  - 521 - Warehousing and storage
  - 522 - Support activities for transportation
- 53 - Postal and courier activities
  - 531 - Postal activities
  - 532 - Courier activities

## **I - Accommodation and food service activities**

- 55 – Accommodation
  - 551 - Short term accommodation activities
  - 552 - Camping grounds, recreational vehicle parks and trailer parks
  - 559 - Other accommodation
- 56 - Food and beverage service activities
  - 561 - Restaurants and mobile food service activities
  - 562 - Event catering and other food service activities
  - 563 - Beverage serving activities

## **J - Information and communication**

- 58 - Publishing activities
  - 581 - Publishing of books, periodicals and other publishing activities
  - 582 - Software publishing
- 59 - Motion picture, video and television programme production, sound recording and music publishing activities
  - 591 - Motion picture, video and television programme activities
  - 592 - Sound recording and music publishing activities
- 60 - Programming and broadcasting activities
  - 601 - Radio broadcasting
  - 602 - Television programming and broadcasting activities
- 61 – Telecommunications
  - 611 - Wired telecommunications activities
  - 612 - Wireless telecommunications activities
  - 613 - Satellite telecommunications activities
  - 619 - Other telecommunications activities
- 62 - Computer programming, consultancy and related activities
  - 620 - Computer programming, consultancy and related activities
- 63 - Information service activities
  - 631 - Data processing, hosting and related activities; web portals

639 - Other information service activities

**K - Financial and insurance activities**

- 64 - Financial service activities, except insurance and pension funding
  - 641 - Monetary intermediation
  - 642 - Activities of holding companies
  - 643 - Trusts, funds and similar financial entities
  - 649 - Other financial service activities, except insurance and pension funding activities
- 65 - Insurance, reinsurance and pension funding, except compulsory social security
  - 651 - Insurance
  - 652 - Reinsurance
  - 653 - Pension funding
- 66 - Activities auxiliary to financial service and insurance activities
  - 661 - Activities auxiliary to financial service activities, except insurance and pension funding
  - 662 - Activities auxiliary to insurance and pension funding
  - 663 - Fund management activities

**L - Real estate activities**

- 68 - Real estate activities
  - 681 - Real estate activities with own or leased property
  - 682 - Real estate activities on a fee or contract basis

**M - Professional, scientific and technical activities**

- 69 - Legal and accounting activities
  - 691 - Legal activities
  - 692 - Accounting, bookkeeping and auditing activities; tax consultancy
- 70 - Activities of head offices; management consultancy activities
  - 701 - Activities of head offices
  - 702 - Management consultancy activities
- 71 - Architectural and engineering activities; technical testing and analysis
  - 711 - Architectural and engineering activities and related technical consultancy
  - 712 - Technical testing and analysis
- 72 - Scientific research and development
  - 721 - Research and experimental development on natural sciences and engineering
  - 722 - Research and experimental development on social sciences and humanities
- 73 - Advertising and market research
  - 731 - Advertising
  - 732 - Market research and public opinion polling
- 74 - Other professional, scientific and technical activities
  - 741 - Specialized design activities
  - 742 - Photographic activities
  - 749 - Other professional, scientific and technical activities not elsewhere classified.
- 75 - Veterinary activities
  - 750 - Veterinary activities

**N - Administrative and support service activities**

- 77 - Rental and leasing activities
  - 771 - Renting and leasing of motor vehicles
  - 772 - Renting and leasing of personal and household goods
  - 773 - Renting and leasing of other machinery, equipment and tangible goods

- 774 - Leasing of intellectual property and similar products, except copyrighted works
- 78 - Employment activities
  - 781 - Activities of employment placement agencies
  - 782 - Temporary employment agency activities
  - 783 - Other human resources provision
- 79 - Travel agency, tour operator, reservation service and related activities
  - 791 - Travel agency and tour operator activities
  - 799 - Other reservation service and related activities
- 80 - Security and investigation activities
  - 801 - Private security activities
  - 802 - Security systems service activities
  - 803 - Investigation activities
- 81 - Services to buildings and landscape activities
  - 811 - Combined facilities support activities
  - 812 - Cleaning activities
  - 813 - Landscape care and maintenance service activities
- 82 - Office administrative, office support and other business support activities
  - 821 - Office administrative and support activities
  - 822 - Activities of call centres
  - 823 - Organization of conventions and trade shows
  - 829 - Business support service activities not elsewhere classified.

**O - Public administration and defence; compulsory social security**

- 84 - Public administration and defence; compulsory social security
  - 841 - Administration of the State and the economic and social policy of the community
  - 842 - Provision of services to the community as a whole
  - 843 - Compulsory social security activities

**P - Education**

- 85 - Education
  - 851 - Pre-primary and primary education
  - 852 - Secondary education
  - 853 - Higher education
  - 854 - Other education
  - 855 - Educational support activities

**Q - Human health and social work activities**

- 86 - Human health activities
  - 861 - Hospital activities
  - 862 - Medical and dental practice activities
  - 869 - Other human health activities
- 87 - Residential care activities
  - 871 - Residential nursing care facilities
  - 872 - Residential care activities for mental retardation, mental health and substance abuse
  - 873 - Residential care activities for the elderly and disabled
  - 879 - Other residential care activities
- 88 - Social work activities without accommodation
  - 881 - Social work activities without accommodation for the elderly and disabled
  - 889 - Other social work activities without accommodation

**R - Arts, entertainment and recreation**

- 90 - Creative, arts and entertainment activities
  - 900 - Creative, arts and entertainment activities
- 91 - Libraries, archives, museums and other cultural activities
  - 910 - Libraries, archives, museums and other cultural activities
- 92 - Gambling and betting activities
  - 920 - Gambling and betting activities
- 93 - Sports activities and amusement and recreation activities
  - 931 - Sports activities
  - 932 - Other amusement and recreation activities

**S - Other service activities**

- 94 - Activities of membership organizations
  - 941 - Activities of business, employers and professional membership organizations
  - 942 - Activities of trade unions
  - 949 - Activities of other membership organizations
- 95 - Repair of computers and personal and household goods
  - 951 - Repair of computers and communication equipment
  - 952 - Repair of personal and household goods
  - 96 - Other personal service activities
  - 960 - Other personal service activities

**T - Activities of households as employers; undifferentiated goods- and services-producing activities of households for own use**

- 97 - Activities of households as employers of domestic personnel
  - 970 - Activities of households as employers of domestic personnel
- 98 - Undifferentiated goods- and services-producing activities of private households for own use
  - 981 - Undifferentiated goods-producing activities of private households for own use
  - 982 - Undifferentiated service-producing activities of private households for own use

**U - Activities of extraterritorial organizations and bodies**

- 99 - Activities of extraterritorial organizations and bodies
  - 990 - Activities of extraterritorial organizations and bodies

## Annex 3. Result Codes for the Questionnaire (for interviewers)

CODE	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>
	<b><u>INDIVIDUAL MODULES 2-7 NOT BEGUN</u></b>
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, serious 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 _____
	<b><u>INDIVIDUAL MODULES 2-7 BEGUN BUT NOT COMPLETED.</u></b>
51	<u>Individual 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>
	<b><u>GENERAL BOOKLET (MODULE 9) NOT BEGUN</u></b>
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).
	<b><u>GENERAL BOOKLET (MODULE 9) LOOKED THROUGH OR ATTEMPTED BUT NOT COMPLETED OR PASSED</u></b>
71	Individual looked at Booklet but <u>unable to read and write the language of the Booklet so did not begin</u> .
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)
	<b><u>EXERCISE BOOKLET (MODULE 9)</u></b>
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 of</u> the Exercise Booklet and <u>attempted all</u> items.
88	Individual <u>marked all</u> the questions of the Exercise Booklet.







# Annex 6. SUPERVISOR FORM 1: Visual Scrutiny Form

STEP Skills measurement survey														
Supervision Form #1: Visual scrutiny of the questionnaires														
PSU Sample ID: <input style="width: 50px;" type="text"/>			Supervisor Name : <input style="width: 150px;" type="text"/>				Code: <input style="width: 50px;" type="text"/>			Date: <input style="width: 100px;" type="text"/>				
#	Verification	HOUSEHOLD SAMPLE ID's												
	MARK THE HOUSEHOLD SAMPLE ID FOR EACH OF THE 15 COMPLETED HOUSEHOLDS IN THE PSU:	Tick (✓) below each household if checked and is correct and mark "x" if wrong												
1	Cover page: Are the household identifiers (PSU ID, hhld ID, check digit) and the interviewer's code correctly filled?													
2	Module 1, Part C, Question 6: Does the ID Code belong to an eligible member (see Part A, Question 19)?													
3	Module 2, Education: Check all the skip patterns. Were skips in Q 15 (presently attending) and Q 18 (dropped out) properly followed? Was the respondent correctly identified as with or without a bachelor degree in Q25?													
4	Module 3, Question 10: is there an answer circled for each of the 5 lines of Question 10?													
5	Module 4, Personality and Behavior. Were there any lines without an answer circled? If so, had a line been drawn through the line? (Note if there are lines not answered to speak to interviewer)													
6	Module 5, Employment, Part A: Check the skip pattern. Was it properly followed?													
7	Module 5, Employment, Part C: Was the Occupation in question 8 legibly written down, with all necessary details?													
8	Module 6, Skills at work, Part A: Was Occupation in question 1 or 2 legibly written down, with all necessary details?													
9	Module 6, Skills at work, Part A: Check the skip pattern. Was it properly followed?													
10	Module 6, Skills at work, Part B: Was Occupation in question 1 legibly written down, with all necessary details?													
11	Module 7, Family: Check Question 5: is there a 1 or 2 in every answer box for the languages?													
12	Module 7, Family: Check Question 6 and 8: was the marital status and the ID of spouse(s), if applicable, correctly recorded ? (look at Mod 1A)													
13	Module 9: Is the Literacy module timing and scoring sheet completely filled out?													
14	Check the back cover: are the dates and the result code properly entered?													
15	General Booklet: Is the Cover page correctly filled? Are the booklet ID, household identifiers (PSU ID, hhld ID, check digit), and the interviewer's code correctly filled?													
16	Exercise Booklet: Is the Cover page correctly filled? Are the booklet ID, household identifiers (PSU ID, hhld ID, check digit), and the interviewer's code correctly filled?													
17	Exercise Booklet: Was the proper booklet-type assigned to the household?													

## Annex 7. SUPERVISOR FORM 2: Interviewer Evaluation Form

STEP Skills measurement survey				
Supervision Form #2: Interviewer Evaluation				DATE: _____
PSU ID		Supervisor Name:		Code
Household ID		Interviewer Name:		
		Result?		COMMENTS
		SATISFACTORY	NOT SATISFACTORY	
1 Compartment 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 try to determine the household membership?			
3	Did the interviewer determine the eligibility of each household member aged 15-64 correctly?			
4	Did the interviewer select the individual to be interviewed correctly?			
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 explanations when asking the questions in Module 4 (Personality and Behavior)?			

## Annex 8. SUPERVISOR FORM 3: Check-up Visit Form

STEP Skills Measurement Survey Supervision Form #3: Check-up Visit			
	PSU Sample ID	HH Sample No.	
			in person    telephone
			Date: <input style="width: 50px;" type="text"/>
			Date: <input style="width: 50px;" type="text"/>
			Date: <input style="width: 50px;" type="text"/>
	Supervisor: _____	Code: <input style="width: 20px;" type="text"/>	
	Interviewer: _____	Code: <input style="width: 20px;" type="text"/>	
#	Verification (if answer does not agree with interviewer's, write details on the back of this sheet)	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 17		
4	What source of energy does your household mainly use for lighting? Is there a secondary source? CHECK WITH MODULE 1B, QUESTION 12		
5	Who answered the individual modules? CHECK WITH MODULE 1C, QUESTION 6		
6	What is the highest level of education the respondent completed?(formal education) ? CHECK WITH MODULE 2, QUESTION 8		
7	Did the individual respondent work for at least an hour for <u>wage</u> or <u>salary</u> in cash or in kind during the past 7 days before the original interview? CHECK WITH MODULE 5A, Question 1		
<b>SUPERVISOR: ASK THE INDIVIDUAL RESPONDENT</b>			
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 5B		
10	Did you easily understand what was meant by the question: "Do you think about how the things you do will affect others?"	NO	YES
11	Did you easily understand what was meant by the question, "Do you stay calm in tense or stressful situations?"	NO	YES
12	Did the interviewer give you examples or explain the questions in any way when asking questions on personality, like the two questions just mentioned? (REMIND RESPONDENT OF MODULE 4)	NO	YES
13	SUPERVISOR: ASK THE RESPONDENT HOW MUCH OF THE INTERVIEW INCLUDING LITERACY EXERCISES HE/SHE DID, AND COMPARE TO THE RESULT CODE THE INTERVIEWER MARKED FOR THE INTERVIEW. COMMENT ON AN DISCREPANCIES.  IF THE RESPONDENT DID NOT BEGIN THE READING EXERCISES >>18	AGREES	DOES NOT AGREE
14	Did the interviewer provide help when you were doing the Reading Exercises (the series of short reading exercises you had to complete at the end of the interview)?	NO	YES
15	Did you try to do all the reading exercises?	NO	YES
16	Did you feel like you had enough time to complete the Reading exercises?	NO	YES
17	Measure the height of the Individual Respondent and record it here		CM