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

**KENYA**

**This Version: May 6, 2012**

**FULL LITERACY ASSESSMENT**



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## Introduction: How to Fill Out the NSDPR

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

Please fill out and read carefully the whole document. As it is based on the Terms of Reference and Technical Proposals submitted by the Survey Firm, it is a **binding document** on implementation procedures.

After ensuring that each section accurately reflects the implementation procedures, both **Task Team Leaders and Project Managers are required to sign the document**.

### How to fill out the document:

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

## PART 1: World Bank Country Team Plan

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

### 1.1. Time Frame

<i>Technical Standard</i>	<i>Agreed to by the World Bank Country Team?</i>
The World Bank Country Team will help ensure a final NSDPR is submitted to the STEP Consortium at least <b>two months</b> prior to the commencement of data collection for its main survey.	Procedures were accelerated so fieldwork would end before the elections The NSDPR will be submitted before fieldwork starts

### 1.2. Rationale for the STEP Survey

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

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

The role of education and training is well recognized in Kenya and is highlighted in the 2010 Constitution, Vision 2030, and the Millennium Development Goals. The country has undertaken major reforms over the past decade to attain its policy objectives and devotes considerable resources to education and training. Spending on education has been growing regularly. It accounts for 20 percent of the national budget and about 6.5 percent of GDP, a share which is well above the Sub-Saharan African average of 3.8 percent of GDP.

Education attainment indicators (such as participation and literacy rates) are improving steadily in Kenya. Enrollment rates, both gross and net, increased between 2005 and 2011 and, although primary completion rates have declined, transition from primary to secondary education has progressed (see table below). Tertiary education is also expanding and estimates show that by 2020 the number of Kenyans with a university degree is expected to exceed the number without any formal education. Enrollments in Technical, Industrial, Vocational and Entrepreneurship Training (TIVET) institutions increased from 70,500 in 2005 to about 100,000 in 2011, while enrollments in public universities almost doubled between 2005 and 2010, to reach 198,000 students in 2011.

**Table: Key Education Indicators in Kenya (2005-2011)**

	2005	2006	2007	2008	2009	2010	2011
<b>Pre-Primary</b>							
GER	57.9%	58.8%	59%	59.8%	60.6%	60.9%	65.6%
NER	32.9%	33.6%	42.1%	43%	49%	50%	52.4%
<b>Primary</b>							
GER	107.6%	103.8%	108.9%	109.8%	110%	109.8%	115%
NER	82.8%	83.5%	91.6%	92.5%	92.9%	91.4%	95.7%
Completion Rate	83.2%	79.8%	81%	79.8%	83.2%	76.8%	74.6%
Primary to Secondary Transition	66.9%	64.1%	59.9%	64.1%	66.9%	72.5%	73.3%
<b>Secondary</b>							
GER	28.8%	32.4%	38%	42.5%	45.3%	47.8%	48.8%
NER	20.5%	22.5%	24.2%	28.9%	35.8%	32%	32.7%

*Source:* Various Economic Surveys. GER is Gross Enrolment Rate and NER is Net Enrolment Rate.

But unemployment, especially among youth, remains high. According to the latest available data, unemployment stands at around 19 percent for the 15 to 19 age group, 32.6 percent for 20-24 year olds, and 21 percent for those aged 25 to 29. As in many countries, unemployment and low employment rates result from 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 that promote higher productivity jobs.

The education and training systems lack labor market relevance, leaving workers ill equipped for the labor market. The task force on the re-alignment of the education sector to the 2010 Constitution identified a number of challenges facing university education in Kenya and underlined the general mismatch between universities' curriculum and the labor market's emerging needs. TIVET faces similar quality and relevance challenges. According to a study by Onsomu et al (2009), it is plagued by various issues, among them fragmented programs, limited integration into the formal education system, weak linkages

with labor markets, insufficient financing, inadequate monitoring, poor wage employment opportunities for its graduates, and limited alignment with technological innovation in the local and global markets.

Against this background, the STEP Survey for Kenya is expected to provide insights on (i) individuals' skills sets and labor market opportunities and (ii) inform the design of education and training policies to boost employability and productivity. There is a direct link between the study and the country's needs, as expressed by both the Government and the civil society.

## 2. Identify the sponsoring organization

Multi Donor Trust Fund (MDTF) on "Labor Markets, Job Creation, and Economic Growth: Scaling up Research, Capacity Building, and Action on the Ground"

### 1.3. Country-specific Survey Questions

The STEP Household Survey for Kenya includes no country-specific questions.

### 1.4. Household Questionnaire

<i>Technical Standard</i>	<i>Agreed to by the World Bank Country Team?</i>
<p>Each country is permitted to insert up to 5 country-specific questions in the Household Questionnaire.</p> <p>The questions and their placement must be confirmed with the STEP Consortium.</p> <ul style="list-style-type: none"> <li>a) The rationale for the inclusion of country-specific questions must be provided.</li> <li>b) The wording of the proposed questions must be included in the NSDPR.</li> <li>c) The placement of the questions must be discussed with the STEP Consortium.</li> <li>d) An outline of the pre-test strategy for the questions must be included in the NSDPR.</li> </ul>	NOT APPLICABLE

<i>Information Required</i>	<i>Proposed Country-Specific Questions and Placement</i>	<i>Information Approved by the STEP Core Team?</i>
Country-specific questions:	NOT APPLICABLE	

### 1.5. Fieldwork

<i>Information Required</i>	<i>Description</i>
<b>1. Public Awareness Campaign</b> Please describe briefly activities for raising public awareness.	NOT APPLICABLE
<b>2. Advance Survey Information</b> Please describe briefly the initial method of informing targeted households of the purpose of the survey.	NOT APPLICABLE
<b>3. Respondent Incentive</b> If applicable, please describe the respondent incentive strategy.	NOT APPLICABLE

### 1.6. Sample Frame and Benchmark Variable Counts

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

## PART 2: Survey Firm Plan

This section will be filled out by the Survey Firm.

### 2.1. Time Frame

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
The Survey Firm will submit a final NSDPR to the STEP Consortium at least two months prior to the commencement of data collection for its main survey.	The data collection will start mid-April

### 2.2. Project Team

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

#### 2.2.1. Qualifications and Expertise of the Survey Institute

##### 1. Identify the Leading Survey Institute

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

## 2. Identify Key Project Team Members

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

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

**Table 1: Key STEP Project Team Positions and Functions**

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

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

### **Farès Khoury, Project Director**

In the last 30 years, Mr. Khoury has led or supervised a very large number of studies and mandates on behalf of numerous private and public clients, in more than 90 countries. As advisor, supervisor or project director, his contribution is mainly to stimulate the thinking of the project's team regarding the understanding of the problems at hand, to ensure a dynamic perspective of the analytical approach and its relevancy toward the situations specificities and the clients' concerns, to address non-standard methodological issues and to optimize the full analytical potential of available information in terms of relevant results. In the last five years alone he directed in excess of 60 multi-country complex surveys.

### **Diane Marleau, Project Statistician**

Ms. Diane Marleau is an economist and vice-president of Étude Économique Conseil (EEC Canada) Inc. and has 29 years of experience in national and international consulting. Her dual training in management and economics has enabled her to work in a wide variety of fields in which economics is applied. In the course of her work, Ms. Marleau has developed a strong expertise in survey methodologies, sampling, database analysis and economic quantitative methods (demand forecasting, econometric models, financial simulation models, etc.). She has also acquired a complete mastery of programming in many statistical software packages and tools (including SPSS/PC +, CSPRO, Data Entry SPSS).

**Chris Clark, Data quality manager**

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

**Richard Ibghy, Country manager**

Richard Ibghy has been a consultant with EEC Canada for over nineteen years. With EEC Canada, Mr. Ibghy has worked on several mandates within the cultural industries (film and video, book and periodical publishing, sound recording and the performing arts) dealing with questions of public policy, strategic orientations, institutional and program evaluations for organizations such as the National Film Board, the Canadian Arts Council, Telefilm Canada and the Federal Business Development Bank.

**Le Prince Justin Fotue Fenyom, Assistant country manager**

Mr. Fenyom is a statistics engineer, whose time at EEC Canada has largely been devoted on World Bank projects. He has actively contributed to the Investment Climate Survey project in 25 African and 14 Caribbean countries and the Trucking Industry Survey in 9 African countries. For these projects, he helped develop questionnaires, data entry programs and data coherence tests. He also played a very important role in data quality control. Moreover, he participated in the project's fieldwork.

**Zied Naffouti, Assistant country manager**

Mr. Naffouti has actively participated in several surveys mainly the World Bank and the Inter-American Development Bank. Among these surveys, Mr. Naffouti worked extensively in the Investment Climate Survey and Trucking survey at many levels, including preparation of questionnaires, preparation of lists, recruitment, training and supervision of local enumerators, conducting interviews, questionnaire/data validation and development of coherence tests. This work has been developed for several countries in Africa and in the Caribbean countries.

**Isabelle Leyder, Logistics manager**

During the last 10 years, Ms. Leyder participated and directed numerous evaluations and institutional strengthening mandates for EEC's clients. In EEC's projects for both the World Bank and the Inter-American Development Bank, Ms. Leyder reviewed questionnaires to better define or delineate with precision the data required to address specific analytical issues. She has also managed the back-stopping logistics aspects of numerous surveys conducted notably in Africa, acting in most surveys as an interim head-quarters project director, coordinating complex surveys, including employees or household surveys.

**Anthony Kimocho Macharia, Alternate assistant country manager**

Mr. Macharia's main fields of expertise are econometrics and agricultural economics, analysis of socio-economic indicators, monitoring and evaluation (M&E), trade, poverty and policy analysis. He is also proficient in econometric packages, such as STATA, EvIEWS, PcGive, Microfit, SPSS, CSPro and knowledge of GAMS and Epi Info. He has extensive survey experience, including design and implementation. His statistics and research expertise covers qualitative and quantitative research methods; questionnaire design, sampling, data collection, descriptive and statistical analysis.

**Marie Charra, Group coordinator**

Ms. Charra joined EEC's team 2 years ago, and has since actively participated in several surveys and studies with international institutions, including the IDB-Caribbean Enterprise Survey 2010-2011 and the World Bank's Central America Trucking Survey 2011 at many levels. Mrs. Charra took an active part in the questionnaires preparation, programming the data entry programs, concatenating the sample list of respondents, recruiting, training and supervising local enumerators, conducting interviews with general managers, validating questionnaires/data and developing guides for coherence tests. She was Country coordinator both in Grenada for the IDB Caribbean Enterprise Survey 2010-2011, and in Honduras for the World Bank Central America Trucking Survey 2011.

**Eimear O'Leary-Barrett, Group coordinator**

Ms. O'Leary-Barrett has worked with EEC in the past. She has participated in various surveys and evaluation projects for Canadian and international clients, including the IDB's Investment Climate Survey in 14 Caribbean countries, a technical support project for the Haitian Ministry of Planning and External Cooperation, and an analysis of the terrestrial transport sector in the Central American isthmus (World Bank). In particular, she acted in 2011 as assistant-country manager in Nicaragua, Costa Rica and Guatemala in the implementation of surveys covering terrestrial cargo transport.

**Salem Zarifa, Group coordinator**

Mr. Zarifa has been with EEC for a year. He participated in several survey studies mainly but not only in Spanish speaking countries and in Africa. Notably in the 2011 Inter-American Development Bank's Caribbean Investment Climate survey in 14 countries, and its follow-up in 2012 as well as the World Bank's Central America trucking survey in 2011. He took an active part in the questionnaires preparation, programming the data entry programs; compiling and merging sample lists of respondents and in the recruiting phase of the implementation phase, conducting interviews with general managers, validating questionnaires/data and developing guides for coherence tests.

**Jean-Paul Peumi, Chief Coder**

Mr. Peumi is a statistics engineer with a strong command of econometric analysis, and a superior proficiency in demographic data analysis as well as in census and survey implementation. Jean-Paul has demonstrated analytical skills, as well as capabilities in interpreting economic and social phenomena, particularly with regards to development topics. With EEC Canada, he has been involved in several World Bank projects. He actively contributed to the Investment Climate Survey project in Nigeria and Senegal and the Trucking Industry Survey in Cameroon and Chad.

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

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

Nobody will work full time on the STEP survey for the ENTIRE duration of the survey.

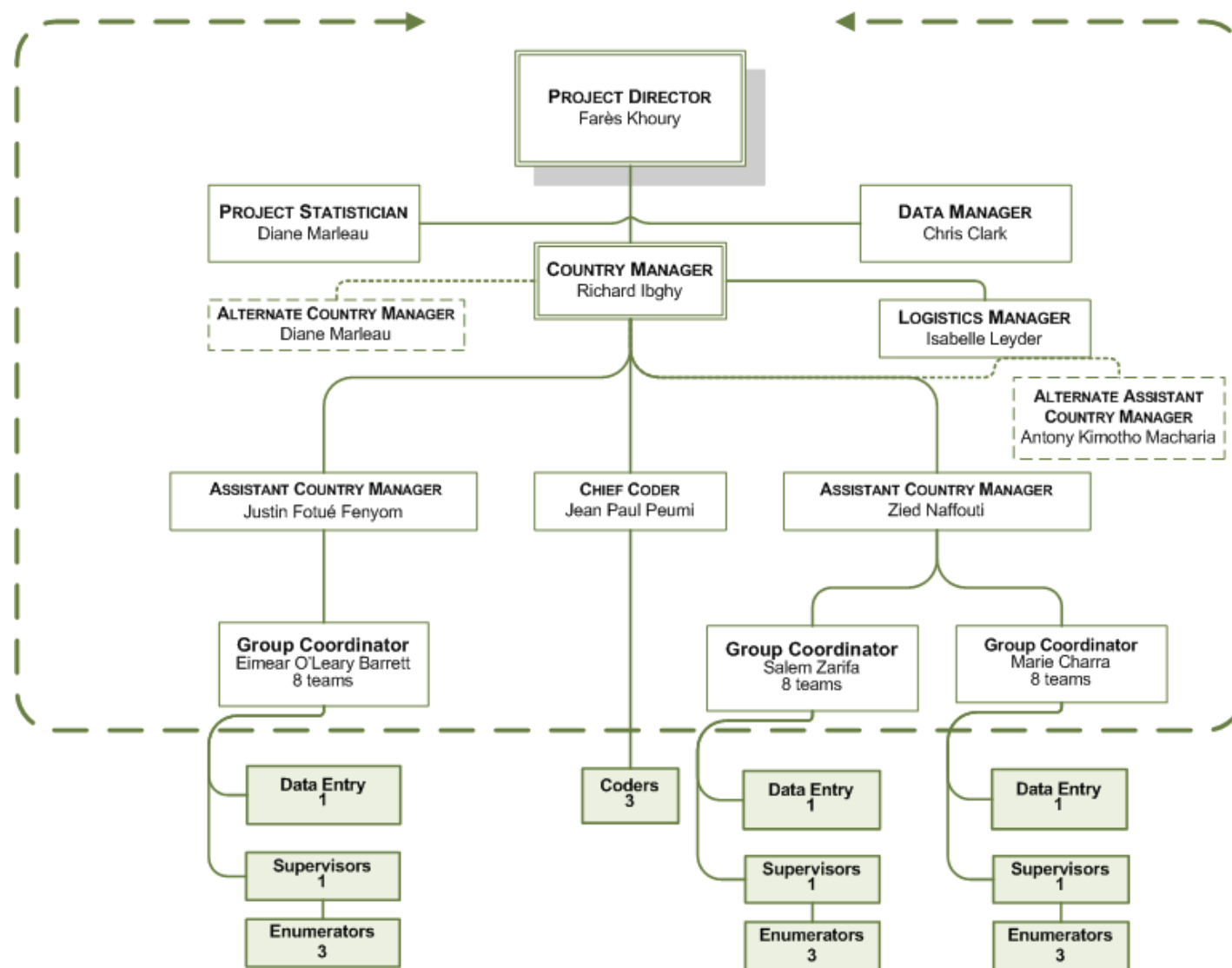
Function and Name		Total days		
EEC Staff - and partners		Field	HQ	Total
Project Director	Fares Khoury	0	22	22
Project Statistician	Diane Marleau	0	18	18
Data Manager	Chris Clark	0	18	18
Country Manager	Richard Ibghy	30	10	40
Assistant Country Manager	Le Prince Justin Fotue Fenyom	30	10	40
Assistant Country Manager	Zied Naffouti	30	10	40
Alternative Assistant Country Manager	Anthony Kimocho Macharia	30	10	40
Logistics Manager	Isabelle Leyder	0	14	14
Group Coordinator	Marie Charra	22	12	34
Group Coordinator	Eimear O'Leary-Barrett	22	12	34
Group Coordinator	Salem Zarifa	22	12	34
Chief Coder	Jean Paul Peumi	36	12	48

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

### 2.2.2. Project Structure

<b>EEC Canada's Technical/Managerial Staff</b>		
<b>NAME</b>	<b>POSITION</b>	<b>TASK</b>
<b>FARÈS KHOURY</b>	Project Manager	Responsible for the management of the project
<b>DIANE MARLEAU</b>	Project Statistician (or Alternate Country Survey Manager)	Responsible for sampling, weight determination and other statistical tasks  If Alternate Country Survey Manager: Overall responsibility for implementation of the survey in Kenya
<b>CHRIS CLARK</b>	Data Manager	Responsible for data entry programming, data entry supervision, overall data quality control and cleaning of data
<b>ISABELLE LEYDER</b>	Logistics Manager	Support to technical and managerial staff of the project throughout all stages of the back-stopping logistics aspects of the survey
<b>RICHARD IBGHY</b>	Country Manager	Overall responsibility for the implementation of the survey in Kenya  Responsible for the literacy exercises adaptation and translation
<b>JUSTIN FOTUÉ FENYOM</b> <b>ZIED NAFFOUTI</b> <b>ANTHONY KIMOTH</b> <b>MACHARIA (ALTERNATE)</b>	Assistant Country Manager	Support to the Country Manager notably by interfacing with the Group Coordinators, the Chief Coder and their respective 8 teams of 1 supervisor, 3 enumerators and 1 data entry person, on their daily activity. (n.b.: 1 Group coordinator will have an assistant Group coordinator responsible to manage 1 team of 1 supervisor, 4 enumerators and 1 data entry person.  Reports to the Country Manager or the Project manager, in

		exceptional circumstances requiring his urgent intervention
<b>JEAN PAUL PEUMI</b>	Chief Coder	Supervise and monitor the scoring process of literacy assessment booklets. Responsible for the training of coders
<b>NATIONAL STAFF</b>	Coder	Responsible for the assessment and scoring of booklets
<b>NATIONAL STAFF</b>	Supervisor	Support to the Group Coordinator, covering the follow-up of enumerators on their daily activity.
<b>NATIONAL STAFF</b>	Enumerator	Conduct the interviews
<b>NATIONAL STAFF</b>	Data entry operator	Enter data post verification conducted by the supervisor monitored by the corresponding Group coordinator.



## 2.3. Literacy Assessment

### 2.3.1. General

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

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
instructions provided by the STEP Consortium.	
The Literacy Assessment will be administered in the following language(s):	English

### 2.3.2. Translation and Adaptation of Literacy Materials

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Language 1 Name of Translators</i>	<i>Language 2 (if applicable) Name of Translators</i>
Participating countries are responsible for the cultural adaptation and translation of the literacy material:			
a. <u>ETS translation and adaption guidelines</u> : The translation and cultural adaptation of the assessment items will be carried out according to the translation and adaptation guidelines prepared by ETS	YES		
b. <u>Translation</u> will be carried out by two independent translators followed by reconciliation by a third translator	NA	NA	NA
c. <u>Translation and cultural adaptation verification</u> : Check, sentence by sentence, of linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in the <i>Verification Follow-Up Form</i>	YES		
d. <u>Layout</u> : national assessment booklets will be modeled after the master assessment booklets provided by the STEP Consortium	YES		
e. <u>Layout verification</u> : Final optical check to verify the final layout of the instruments after adaptation and translation verification	YES		
f. Each participating country will submit its translated literacy booklets in each of its STEP reporting languages along with the <i>Verification Follow-Up Form</i> to the STEP Consortium for verification and approval.	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Language 1 Name of Translators</i>	<i>Language 2 (if applicable) Name of Translators</i>
The Literacy Assessment Booklets will be printed <i>according to the printing instructions provided in the document 'STEP_Paper_Booklet_Printing_Specifications.doc'</i> . In particular:			
a. The booklets are currently in PDF format and should be opened in and printed from Adobe Acrobat.	YES		
b. The assessment booklets must be printed (NOT photocopied) so that each page of the final printed booklets is either a letter-size page or an A4-size page.	YES		
c. To ensure that the stimulus and its associated questions face each other, the booklets must be saddle-stitched <u>or</u> stapled in the middle so the booklet can lie flat when opened	YES		
d. The booklets must be printed on paper that is 60 lb or more (at least 70 gsm)	YES		

## 2.4. Household Questionnaire

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
Each participating country will implement the Household Questionnaire prescribed by the STEP Consortium	YES		
<p><b>1. Translation of the Household Questionnaire</b></p> <p>The Household Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Consortium.</p> <p>These guidelines include:</p> <ul style="list-style-type: none"> <li>▪ A double translation by two independent translators and reconciliation by a third translator</li> <li>▪ Translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. Suggested corrections will be listed and justified in a document that will be sent to the STEP Core Team</li> <li>▪ Reconciliation of the first two translations will be done in close collaboration with a senior member of the survey team who has a strong command of English and who is involved in the survey piloting and fieldwork</li> <li>▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator</li> <li>▪ If the Household Questionnaire is administered in several languages, the above procedures will be followed for the translation of the Household Questionnaire in each language</li> </ul>	<p>YES</p> <p>ONLY Module 6 A (Personality, behavior and preferences) will be translated with this method) which has been submitted to the Core team</p> <p>Swahili</p> <p>Joshua Mumbi Mwangi</p> <p>Irene Murithi Juma</p> <p>Alex Angwenji</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	Makanga		
<b>2. Translation of all Survey Materials (with the exception of the questionnaire)</b> All Survey Materials will be translated based on guidelines provided by the STEP Consortium.	NA		
The Survey Materials include:	NA		
<ul style="list-style-type: none"> <li>The Interviewer and Supervisor Manual, which will be translated by a qualified translator</li> </ul>	NA		
<ul style="list-style-type: none"> <li>The Operation Manual, which will be translated by a qualified translator</li> </ul>	NA	NA	
<ul style="list-style-type: none"> <li>The PowerPoint Presentations for the interviewers' training, which will be translated by a qualified translator</li> </ul>	NA	NA	
<ul style="list-style-type: none"> <li>The Test and Answer Sheets for the interviewers' training, which will be translated by a qualified translator</li> </ul>	NA		
<ul style="list-style-type: none"> <li>The Brochure presenting the STEP Survey, which will be translated by a qualified translator</li> </ul>	NA	NA	
<ul style="list-style-type: none"> <li>If the Household Questionnaire is administered in several languages, the Materials listed above will be translated as needed</li> </ul>	NA		
<b>3. Health Module</b>			
<ul style="list-style-type: none"> <li>The Survey Firm will provide Interviewers with measuring tapes to measure individual respondents' height</li> </ul>	NO	Not acceptable in Kenya to measure persons if not medical staff	<b>Approved</b>
<ul style="list-style-type: none"> <li>Interviewers should measure individual respondents during the interview, and only record self-reported height as a last measure</li> </ul>	NO		
<b>4. Pilot Survey</b>			
The Household Questionnaire will be pre-tested according to the STEP Consortium requirements and as specified below:			
<ul style="list-style-type: none"> <li>Finalized questionnaires will be tested in a pilot test of 100 households</li> </ul>	YES		
<ul style="list-style-type: none"> <li>Sample:</li> </ul>			
<ul style="list-style-type: none"> <li>half from low-income households and half from medium/high income</li> </ul>	Piloted HHs were		

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

## 2.5. Field Teams and Training

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<b>1. “Train the Trainer” Training in Washington DC</b> The following members of the Project Team should attend the “Train the Trainer” Training organized in Washington DC: <ul style="list-style-type: none"> <li>Head Trainer</li> <li>Chief Scorer for the literacy assessments</li> <li>Field Manager</li> </ul>	NO Completed in our HQ by WB Yes NO Completed in	Completed in our HQ by WB except for Chief Scorer to be trained by ETS	<b>Approved</b> <i>The Survey Firm nevertheless sent a project team member to the training organized in</i>

Technical Standard	Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Core Team?																						
	our HQ by WB Richard Ibghy participated in the DC training Dec 4 and 5		Washington DC on December 4 and 5 (Scoring the Literacy Booklets and Data Management)																						
2. Interviewer and Supervisor Hiring Plan																									
<ul style="list-style-type: none"><li>Interviewers’ Qualifications Interviewers and Supervisors should at minimum be high school graduates</li></ul>	YES	All enumerators and supervisors will have at least a university degree																							
<ul style="list-style-type: none"><li>Number of interviewers and Supervisors</li></ul> <table><tr><td>Target Sample</td><td>HHs/PSU</td><td>PSUs</td><td>HHs per enumerator per week</td><td>HHs per team per week</td><td>Duration of Survey (weeks)</td><td>Teams Required</td><td>Enumerators</td><td>Supervisors</td><td>Coders</td><td>Total</td></tr><tr><td>4000</td><td>15</td><td>267</td><td>5</td><td>20</td><td>8</td><td>25</td><td>100</td><td>20</td><td>3</td><td>123</td></tr></table>				Target Sample	HHs/PSU	PSUs	HHs per enumerator per week	HHs per team per week	Duration of Survey (weeks)	Teams Required	Enumerators	Supervisors	Coders	Total	4000	15	267	5	20	8	25	100	20	3	123
Target Sample	HHs/PSU	PSUs	HHs per enumerator per week	HHs per team per week	Duration of Survey (weeks)	Teams Required	Enumerators	Supervisors	Coders	Total															
4000	15	267	5	20	8	25	100	20	3	123															
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	See table above																								
<ul style="list-style-type: none"><li>Method of payment Interviewers’ remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a per piece basis.</li></ul>	NO	Remuneration is defined in relation to effectively and verified completed questionnaires, no incentive for speed – but no remuneration simply for time spent	Approved																						
3. Interviewer Training Plan																									
<ul style="list-style-type: none"><li>Training dates</li></ul>	The first training session took place from	We had a rolling calendar - and kept on training and fielding teams, as long as	APPROVED																						

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	DECEMBER 10 <sup>th</sup> to 21 <sup>st</sup>	required by the implementation.	
<ul style="list-style-type: none"> <li>Fieldwork must start within 4 days of finishing training</li> </ul>	YES		
<ul style="list-style-type: none"> <li>Location of the training Please note that the interviewers' training should take place in one 10-day session in one location (for each language).</li> </ul>		Training occurred on a continuous basis in small groups in Kenya– and was launched when ready	<b>APPROVED</b>
<ul style="list-style-type: none"> <li>Trainees should be split into training rooms of not more than 30 per room.</li> </ul>	YES	Training happened in smaller groups of 10-15	
<ul style="list-style-type: none"> <li>There should be a trainer and assistant trainer in each training room, and a technical support person for each three training rooms.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>There should be supplemental after hour sessions available for trainees who want more practice, or who have been identified in training as needing help.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>Training staff should hold daily debriefing sessions to discuss progress, problem trainees and any technical or administrative issues that have been flagged during the day.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>Training will be based on material provided by the STEP Consortium and translated by the Survey Firm</li> </ul>	YES	NO TRANSLATION NECESSARY	
<ul style="list-style-type: none"> <li>The training plan will follow the agenda attached in Appendix 4, including the supervisor training sessions once team supervisors are selected</li> </ul>	NA	Training followed the 10-day agenda (and the content and process laid out by the STEP consortium) but did not just occur once: there was a rolling calendar of training dates throughout January to April. In addition, due to the delay in implementation, a 2-day	

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
		refresher course for all previously trained enumerators will be scheduled (if approval of the launch from the Core Team is granted in mid April) for the weeks of April 22 <sup>nd</sup> to May 4 <sup>th</sup>	
<ul style="list-style-type: none"> <li>Training will consist of 10 full days of combined classroom training and field training. Field practice will include, for each trainee, at least two households and two selected individual interviews.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>The number of trainees should be at least 30% greater than the required number of interviewers, as only the best trainees will be retained after the training</li> </ul>	NO	ONLY ENUMERATORS AND SUPERVISORS THAT UNDERSTAND THE MATERIAL WILL BE ALLOWED TO IMPLEMENT THE SURVEY. Follow-up materials such as test scores will be provided.	
<ul style="list-style-type: none"> <li>Trainers               <ul style="list-style-type: none"> <li>Head Trainer(s): <i>Name(s), education level and whether they attended the “Train the Trainer” session in Washington DC</i></li> <li>Assistant Trainers: <i>Names, education level and whether they attended the “Train the Trainer” session in Washington DC</i></li> </ul> </li> </ul>	Head trainers: Richard Ibgby Diane Marleau Anthony Macharia Assistant trainers: Zied Naffouti Marie Charra Salem Zarifa All attended train-the-trainer (via web link in Mr.		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	Macharia's case) in Montreal		
<ul style="list-style-type: none"> <li>Training Evaluation Report: the Survey Firm will send the STEP Consortium a one-page training report including the following information, within one week of the end of training: <ul style="list-style-type: none"> <li>List of trainees (names)</li> <li>List of trainees' marks</li> <li>List of selected interviewers</li> <li>List of selected supervisors</li> </ul> </li> </ul>	A list of selected interviewers and supervisors, with their codes in the survey data base will be provided with their grade during the training at the end of the survey	AS PER THE TECHNICAL OFFER OF SERVICES WE WILL PROVIDE THE FINAL LIST OF ENUMERATORS AND SUPERVISORS RETAINED FOR THE SURVEY.	
<ul style="list-style-type: none"> <li>If the first reports from the fieldwork reveal a lack of understanding of some sections of the questionnaire, the firm will retrain all field staff on these sections</li> </ul>	If retraining is required we will deliver it to all those concerned – at the time of implementation, enumerators have completed 1-2 practice questionnaires per week during the months of January to April, and have had these corrected and any outstanding issues with comprehension		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	have been dealt with.		

## 2.6. Fieldwork

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

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

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

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

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>verification: The Supervisor or Field Manager (or assistants) will revisit 15% of each interviewer's finalized cases. In the event that a respondent is not available during the initial follow-up visit, a telephone follow-up may be carried out for no more than one third of the revisits.</p> <p>The households to revisit will be selected randomly by the Field Manager.</p> <p>During each revisit, the Supervisor will complete a <i>Check up Visit form</i> (Appendix 8).</p> <p>The Fieldwork Manager should participate with the Team Supervisor in some of these revisits, unannounced, with households chosen by the Field Supervisor, in order to check on the Team Supervisors.</p> <p>The STEP Consortium may also ask to attend verification revisits, and randomly choose the Households to revisit.</p>	<p>YES</p> <p>YES</p> <p>AS PER THE TORS</p> <p>YES</p> <p>YES</p> <p>YES</p>		
<p><b>5.2. Field Manager/ Regional Field Managers</b></p> <ul style="list-style-type: none"> <li>▪ The Field Manager is responsible for the entire data collection/ fieldwork of the survey</li> </ul>	YES		
<ul style="list-style-type: none"> <li>▪ The Field Manager's responsibilities include: <ul style="list-style-type: none"> <li>- Setting up the field structure, with Regional Fieldwork Managers if required. <i>Please briefly explain the field reporting structure</i></li> </ul> </li> </ul>	Field reporting daily, by cell phones and emails when possible.		

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

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<b>6. Fieldwork Monitoring by STEP Consortium</b>			
▪ <b>Weekly Report</b>			
- The STEP Consortium will provide a Weekly Report template to the survey firm (see Appendix 9)	YES		
- Each participating country will send a Weekly Report to the STEP Consortium during data collection	No, we already discussed and agreed that at most a bi-weekly report will be provided		Bi-weekly report approved  Please append Weekly Report Template in Appendix 9 once it has been approved by the STEP Team
- Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.	YES		
▪ <b>Verification of Fieldwork</b>			
- The Survey Firm will keep Supervisor Forms readily available for random checks by the STEP Consortium. The Supervisor Forms are provided in the Operation Manual and in the Interviewer and Supervisor Manual and comprise a <i>Visual Scrutiny Form</i> for the questionnaires, an <i>Interviewer Evaluation Form</i> and a <i>Check-up Visit Form</i> .	YES, THEY CAN BE RANDOMLY CHECKED AS SOON AS WE RECEIVE THEM, AS DURING THE ON-GOING PHASE, THE FORMS ARE LIKELY TO BE WITH THE SUPERVISORS IN VARIOUS LOCATIONS OF THE SURVEY		

## 2.7. Data Processing

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<b>1. Data Capture and Verification Plan</b> <b>a. General</b> <ul style="list-style-type: none"> <li>Each country's STEP data file will be created according to the Variable Convention provided by the STEP Consortium.</li> <li>The STEP Consortium will provide two Data Entry Programs: <ul style="list-style-type: none"> <li>one for the household survey questionnaire</li> <li>and a second one for the literacy module.</li> </ul> </li> <li>The STEP Consortium will provide training on the use of both programs to the country's IT team</li> </ul>	<p>YES</p> <p>NO, WE HAVE DEVELOPED THE DATA ENTRY PROGRAM FOR THE HH SURVEY QUESTIONNAIRE AND WILL EXPORT DATA IN THE FORMAT AGREED UPON</p> <p>YES FOR THE LITERACY MODULE</p> <p>YES</p>		
<ul style="list-style-type: none"> <li><b>Training of the Data Entry persons:</b> they should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work</li> </ul>	YES		
<ul style="list-style-type: none"> <li>There will be a 3-day training session on the Data Entry program at the end of the interviewer training <i>Please provide the name of the trainer</i></li> </ul>	ALL SURVEY STAFF FROM OUR HQ HAVE BEEN TRAINED by Chris Clark ON DATA ENTRY		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
	REQUIREMENTS		
<ul style="list-style-type: none"> <li>Please provide the name of the person responsible for Data Entry and Management as well as the number of people assigned to Data Entry</li> </ul>	Chris Clark is responsible for data management and oversight; there will be 24 data entry clerks in the field for HH questionnaire and 3 in HQ for literacy modules		
<b>b. Data Entry Program for the Household Questionnaire</b> <ul style="list-style-type: none"> <li>The Survey Firm will use the Data Entry Program provided by the STEP Consortium, which is based on a custom-written Excel macro and features data capture screens mirroring the questionnaire pages.</li> <li>Each country must key-enter the ‘write-in’ entries from the response category “Other”. Please specify for all questions where this category was selected.</li> <li>The Survey Firm will use the Variable Convention provided by the STEP Consortium to name and code the variables</li> </ul>	NO  YES  YES	EEC CANADA HAS DEVELOPED ITS OWN DATA ENTRY FORMS TO FIT THE REQUIREMENTS OF THE HH COMPONENT SURVEY	Approved
<b>c. Data Entry Program for the Literacy Modules</b> <ul style="list-style-type: none"> <li>The Survey Firm will use the Data Entry Program provided by the STEP Consortium</li> <li>The Survey Firm will use the Code Book provided by the STEP Consortium</li> </ul>	YES  YES		
<b>d. Data Entry of Incomplete Cases</b> <ul style="list-style-type: none"> <li>The Survey Firm will provide the STEP Consortium with a data file containing a data record for each sampled household, both</li> </ul>	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>initial sample cases and reserve sample cases.</p> <ul style="list-style-type: none"> <li>▪ The file must include the following minimum information, <ul style="list-style-type: none"> <li>i. the sample identification number from the original sample file,</li> <li>ii. a final result code for each sampled case – this includes cases where an interview was obtained as well as cases that did not yield an individual interview, i.e., non-response cases and non-activated reserve households</li> </ul> </li> <li>▪ This data file will be based on the <i>Sample Tracking Forms</i> filled out during fieldwork</li> </ul>	<p>YES</p> <p>YES</p>		
<p><b>e. Data Capture Verification</b></p> <ul style="list-style-type: none"> <li>▪ Data capture of the household questionnaire and literacy modules will be entirely verified through double data entry</li> <li>▪ Data will be captured twice, by two different operators</li> <li>▪ All differences in the captured data will be resolved by the second data entry operator, using the STEP-provided data entry program, which flags differences</li> </ul>	<p>NO, AS PER THE TECHNICAL OFFER CAPI DOES NOT ALLOW DOUBLE DATA ENTRY, though we will comply with the required double data entry of literacy scores</p>		
<p><b>f. Timeframe</b></p> <ul style="list-style-type: none"> <li>▪ The data entry will start no longer than 5 days after the start of the fieldwork, so that information from the data entry can inform the process of the survey</li> </ul>	<p>YES</p>		
<ul style="list-style-type: none"> <li>▪ The country is expected to transmit the first week of data within two weeks of the start of the fieldwork and the second week of</li> </ul>	<p>NO, DATA DELIVERED AS PER THE SCHEDULE OF</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
data within the first three weeks of fieldwork	DELIVERABLES . Basic descriptive statistics will be provided as the survey progresses		
<b>2. Tracking Respondents' Sample Identification Number</b> <ul style="list-style-type: none"> <li>▪ Each household and each individual who completes the individual questionnaire should have a unique code for data entry</li> <li>▪ Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires</li> <li>▪ A field for recording the respondent's Sample Identification Number is required on all survey instruments (i.e., Household Roster, Household Questionnaire, General Booklet, and Exercise Booklet if applicable) and any pertinent supplementary material</li> <li>▪ Countries must assign a unique booklet ID (serial number) to each prepared assessment instrument (i.e., to each General Booklet and Exercise Booklet if applicable)</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>		
<b>3. Final Result Codes</b> <ul style="list-style-type: none"> <li>▪ Fields are required on the Household Questionnaire for recording the final completion status of the Household Questionnaire, the General Booklet, and any Exercise Booklet if applicable</li> <li>▪ Final Result Codes provided at the end of the Household Questionnaire must be used by all participating countries to ensure that the status of each <u>sampled</u> case is consistently classified (note that even non activated reserve households should be assigned a result code)</li> </ul>	<p>YES</p> <p>YES</p>		
<b>4. Plan for Coding of the Household Questionnaire</b> <ul style="list-style-type: none"> <li>▪ Coding will be undertaken by at least one Coder working at the Head Office</li> </ul>	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<p>Please provide the name of the Head Coder and Assistant Coders if any</p> <ul style="list-style-type: none"> <li>Pre-coded response categories from the household questionnaire will follow the Variable Convention provided by the STEP Consortium</li> <li>Each country is responsible for coding the ‘write-in’ responses from the response category “Other”, and must provide the code set to the STEP Consortium. Each country must ensure that these coded responses are included in the editing of the data. Please specify for all questions where this category was selected.</li> <li>The following codebooks will be used to code education, occupation, and industry information from the Household Questionnaire: <ul style="list-style-type: none"> <li>‘2008 International Standard Classification of Education (ISCED)’ will be used to code the education variable, i.e., ‘highest level of education’</li> <li>‘ISCO Job Titles’ will be used to code the occupation variable</li> <li>‘International Standard Industrial Classification of All Economic Activities, Third Revision’ will be used to code the industry variable.</li> </ul> </li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p>		
<b>5. Plan for Coding of the Literacy Modules and Verification of Data</b>			
<b>5.1. Recruiting and Training the Scorers and Chief Scorer</b>			
<p><i>Scorers</i></p> <ul style="list-style-type: none"> <li>The scorers should have more than a high-school education</li> <li>An odd number of scorers is recommended to facilitate arbitration: 5 for the Full Literacy Assessment / 3 for the Partial Literacy Assessment</li> </ul>	<p>YES</p> <p>YES</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> <li>- Two of them must be bilingual in the language(s) of assessment and English</li> </ul>	NA		
<b><i>Chief Scorer</i></b> <ul style="list-style-type: none"> <li>- Each country requires a Chief Scorer who is fluent in English and the country's STEP reporting language(s)</li> <li>- The Chief Scorer will receive training on scoring procedures and the application of scoring rules for every assessment item</li> <li>- The Chief Scorer will be responsible for the training of the Scoring Team</li> <li>- Each country will send the Chief Scorer to the scorer training that will be provided by the STEP Consortium</li> </ul>	YES  YES  YES  YES		
<b><i>Scoring Material</i></b> <ul style="list-style-type: none"> <li>- A master copy of the Scorer training materials, i.e., a Scorer Training Manual, including examples and exercises, will be provided by ETS</li> <li>- Some adaptation of these materials may be required if a country's translation and adaptation process resulted in changes to items. The Scoring Guide would need to similarly reflect such changes</li> </ul>	YES  YES		
<b><i>Scorer Training</i></b> <ul style="list-style-type: none"> <li>- The training should last 3 days and will be given by the Chief Scorer</li> </ul>	YES		
<b>5.2. The assessment booklets will be scored according to the scoring rules and procedures provided by the STEP Consortium and should be consistent across countries</b> <b>Reading component:</b> <ul style="list-style-type: none"> <li>- Each reading component response is captured by two different scorers/coders and code resolution will take place</li> </ul>	YES  YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
<ul style="list-style-type: none"> <li>- Scorers/coders will use capture sheets designed to capture the responses from Part A of the General Booklet (i.e., reading components)</li> <li>- Scoring must be performed in a centralized location</li> </ul> <p><b>Scoring Operation:</b></p> <ul style="list-style-type: none"> <li>- Scoring should begin as soon as there are enough completed cases returned from the field to give the scoring team a reasonable workload (usually a week's amount of work for the scorers)</li> <li>- The STEP Consortium will provide <i>Scoring Sheets</i> to record the respondent scores for each item. This will facilitate the data capture of these scores</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>		
<p><b>5.3. Quality Control</b></p> <p>Each country is required to carry out the quality control procedures for the scoring of the assessment booklets.</p> <p>The quality control procedures will be provided by the STEP Consortium. These include:</p> <ul style="list-style-type: none"> <li>- Within-country inter-scorer reliability study: Rescoring a proportion of the Core (i.e., Part B of the General Booklets) and Exercise Booklets by a second scorer.</li> <li>- Across-country reliability study: Rescoring a set of anchor booklets by the same scoring team</li> <li>- The Scoring process will be fully documented and include inter-scorer agreement reports, methods used to ensure scorer consistency, all reliability data and all quality control measures</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>		
<p><b>6. Submission of the Literacy Assessment data to ETS</b></p> <p>Each country will submit the Literacy Assessment data to <u>ETS</u>,</p>	<p>EEC CANADA WILL SUBMIT ITS DATA TO THE</p>		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Core Team?</i>
following ETS' guidelines and using its Data Entry Program	BANK WHO IN TURN CAN SUBMIT IT TO ETS , unless EEC Canada is provided with written instruction signed by the Team Task Leader Helen Craig to submit directly to ETS.		
<b>7. Submission of the Household Questionnaire data to the World Bank</b> <ul style="list-style-type: none"> <li>Each country will submit the Household Questionnaire data to the <u>World Bank</u></li> <li>The edited data file should be free from errors and conform to the Variable Convention</li> </ul>	<p>YES</p> <p>YES</p>		

## 2.8. Confidentiality

<i>Information Required</i>	<i>Description</i>
<b>1. Country's Data Confidentiality Requirements</b> The Survey Firm will advise the STEP Consortium of its country's confidentiality rules regarding the handling and sharing of respondent's data.	<i>Data Protection Bill 2012</i>

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
<b>2. Steps to Ensure Data Confidentiality</b> <ul style="list-style-type: none"> <li>The survey instruments, the sampling, and the information gathered by the field workers cannot be used for personal or professional goals by the local consultant firm, field workers or the coordinator and advisor without the prior request and an approval by the World Bank. The data collected is completely confidential and shall not be revealed to any source by the firm. The ownership of any information and data belongs to the World Bank.</li> <li>All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities. A separate form of non-disclosure for the literacy booklets and training and scoring material from ETS is also required.</li> </ul>	<p>YES</p> <p>YES, AS PER THE TORS</p>
<ul style="list-style-type: none"> <li>Each country will submit the data file to ETS and the World Bank STEP team (regional team and core team). Data release beyond ETS and the World Bank teams may not be done until 6 months after the submission of the final data files.</li> </ul>	<p>EEC CANADA WILL SUBMIT DATA TO ETS IF THE BANK INSTRUCTS US IN WRITING AND OFFICIALLY, AS OUR UNDERTAKING OF CONFIDENTIALITY BINDS US TO DELIVER DATA EXCLUSIVELY TO THE BANK, AS PER THE TORS</p>

## 2.9. Quality Assurance

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>
<b>1. Quality Assurance</b> ▪ Quality assurance will be addressed at all stages of the STEP. Many of the steps to ensure quality are outlined in earlier sections of this document. The following sections summarize the quality assurance measures to be implemented during the STEP.	YES
<b>2. Team Composition</b> ▪ The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys: <ol style="list-style-type: none"> <li>1. Name of National Project Manager</li> <li>2. Name of Senior Survey Methodologist</li> <li>3. Name of the Field Manager</li> <li>4. Name of the Data Processing Manager</li> <li>5. Name of the Language Specialist</li> </ol>	SEE POINT 2.2.2
<b>3. Expert Meetings</b> The National Project Manager is committed to attending the international meetings deemed necessary by the STEP Consortium. Similarly, other team members will participate in the international meetings when requested by the STEP Consortium.	AS PER THE TORS AND CONTRACT
<b>4. Response Rate</b> a) Survey responses will be monitored throughout the data collection activity b) A contact strategy and a strategy to minimize non-response (described earlier in this report) will be developed and implemented.	YES YES
<b>5. Data Processing</b> The following quality assurance procedures are planned: <ol style="list-style-type: none"> <li>a) Test of the data capture system</li> <li>b) 100% verification the captured data</li> <li>c) 100% verification of coders' work</li> <li>d) Development and implementation of scoring quality control procedures to ensure inter-scorer agreement</li> <li>e) Creation of the STEP International Data File according to the Variable Convention specifications provided by the STEP Consortium</li> <li>f) Data Editing</li> </ol>	YES

## 2.10. Schedule

## COUNTRY

[illegible]

<input type="checkbox"/>	Target date	<input type="checkbox"/>	In progress
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□ Literacy Booklets - Target date	□ Literacy Booklets - In progress
-----------------------------------	-----------------------------------

### **2.11. Budget**

**- EDITED -**

### 3 PART 3: Sampling and Weighting Plan

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

#### 3.1. Target Population

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist ? Date</i>
<p><b>1. Target Population – Definition</b></p> <p>The target population is defined as all non-institutionalized persons aged 15 to 64 (inclusive) living in private dwellings in the urban areas of the country at the time of the data collection. This includes <u>all residents</u>, except foreign diplomats and non-nationals working for international organizations</p> <p>The following are considered “institutionalized” and excluded from the STEP survey:</p> <ul style="list-style-type: none"> <li>▪ Residents of institutions (prisons, hospitals, etc)</li> <li>▪ Residents of senior homes and hospices</li> <li>▪ Residents of other group dwellings such as college dormitories, halfway homes, workers’ quarters, etc</li> </ul> <p>Other acceptable exclusions are:</p> <ul style="list-style-type: none"> <li>▪ Persons living outside the country at the time of data collection, e.g., students at foreign universities.</li> </ul>	yes	The statistical population is composed of core urban households and excludes the categories identified here, as well as itinerants (as classified in the Population Census 2009 in Kenya).	

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist ? Date</i>
<b>2. Private Dwelling Unit – Definition</b> 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.	Yes, except in slums, where this is not a verifiable condition		
<b>3. Household Member – Definition</b> A Household Member is a person who <ol style="list-style-type: none"> <li>1) considers the dwelling to be their usual place of residence, or who has no usual residence elsewhere;</li> <li>2) makes some common provision for food and other essentials of living;</li> <li>3) spent most of their daily rest at the dwelling for at least nine (9) of the past twelve (12) months; the exception to this rule are persons who have recently joined the household, have no usual residence elsewhere, and intend to spend most of their daily rest at the dwelling.</li> </ol>	yes		
<b>4. Exclusions</b> There may be exclusions from the target population for practical operational reasons. But such exclusions should not exceed 5% of the country's urban population aged 15 to 64 years of age.	yes	WAR MARRED AND UNSTABLE REGIONS OF KENYA	
<b>5. Country-specific Subpopulations</b>	NA		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
A country may include other subpopulations in its target population provided that its sample design includes any necessary augmentation of the sample size to accommodate the analysis requirements for these additional subpopulations.			

### 3.2. Sample Frame

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<b>1. Sample Frame - Definition</b> <ul style="list-style-type: none"> <li>The Sample Frame is the list of the population from which the STEP sample will be selected. It defines the coverage of the target population and provides the means to identify and locate selected population members</li> <li>The quality of the Sample Frame directly affects the quality of the selected sample, as well as the data collection operation E.g., under-coverage or over-coverage of the target population or the duplication of population members in the frame will generate errors in the selected sample</li> </ul>	List of core urban EAs (or PSUs) from the Population Census of 2009, and corresponding number of HHs; see appendix 11 for details		
<ul style="list-style-type: none"> <li>The Sample Frame should provide coverage of the Target Population so that the number of unique, in-scope survey units on the sampling frame comprises at least 95% of the target population</li> </ul>	yes		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
▪ It should be complete, accurate and up-to-date	yes		

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Information Approved by the Survey Methodologist? Date</i>
1. Frame type E.g., population register, household list, list of geographic units, etc.	CENSUS 2009, LIST OF ENUMERATION AREAS AND NUMBER OF HOUSEHOLDS, PLUS FULL ENUMERATION OF DRAWN ENUMERATION AREAS		
2. Source of the frame E.g., 2010 Census, Labor Force Survey, etc.	CENSUS 2009		
3. Definition of survey units of the frame for each stage of sampling	IDENTICAL TO POPULATION CENSUS 2009		
4. Data items on the frame for each stage of sampling E.g., name, address, age, gender, education, etc.	FOR PSUS: NUMBER OF HH FOR HH SELECTION: FULL ENUMERATION WITH LOCATION IN PSUS AND NAME OF HH WHEN POSSIBLE DURING ENUMERATION		
5. Identify the variables to be used for stratification if applicable	4 STRATA BASED ON NUMBER OF HH IN CITIES: NAIROBI AS A FIRST STRATUM, 3 LARGE CITIES (OVER 100,000 HHS) AS THE SECOND, MEDIUM-SIZED CITIES (BETWEEN 60,000 AND 100,000 HOUSEHOLDS) AS A THIRD, AND ALL REMAINING CORE URBAN AREAS AS A FOURTH. NUMBER OF HHS PROVIDED BY THE KNBS. 67 PSUS DRAWN IN EACH STRATUM.		

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Information Approved by the Survey Methodologist? Date</i>
6. Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., PSUs, dwellings	PSUS		
7. Quality assurance procedures I.e., assessment of quality of the frame information i. Provide any information regarding known frame issues, e.g., under-coverage of target population, inclusion of out-of-scope units, up-to-date, duplication ii. Explain any steps taken to ensure that the frame is complete and up-to-date	CENSUS DATING BACK TO 2009; WILL BE CONDUCTING FULL ENUMERATION PRIOR TO SURVEY		
8. Provide Sample Frame of PSUs to World Bank for selection of the first stage sample units	NATIONAL BUREAU OF STATISTICS HAS SAMPLED THE PSUS ACCORDING TO STRATIFICATION REQUESTED; SEE APPENDIX 11 FOR DETAILS OF PSU DRAWN		

### 3.3. Sample Size

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
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<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<p>A minimum of 3,000 interviews must be submitted to the STEP Consortium. A sample of 6,000 households will be selected to allow for up to 50% non-response.</p> <p>An “interview” is achieved when <u>the roster of household members is completed for the selected household, and the randomly selected individual from the household proceeds with the individual modules.</u></p> <p><b><u>Guidelines for Sample Size Determination</u></b></p> <p>The actual number of cases that a survey firm may need to visit in order to obtain the required number of interviews depends on, 1) the expected Response Rate and, 2) for countries that implement the Full Literacy Assessment, the expected Core Pass Rate.</p> <p>1) <u>Expected Response Rate Considerations</u></p> <p>a) Since all surveys experience some level of non-response, the survey firm will need to visit extra households in order to achieve the desired number of interviews.</p> <p>i) A survey firm may have previously experienced reasonably good response rates in other national surveys and may feel secure in basing the response rate expectation for STEP on this past experience. However, the STEP survey is a complex survey which includes a relatively lengthy questionnaire and also includes a literacy assessment. A survey firm should not underestimate the challenges of obtaining a response rate that is similar to the response rates previously experienced in other national surveys.</p> <p>ii) The firm should have a realistic expectation of the achievable response rate for STEP in order to estimate the actual number of visits that will be needed in order to obtain the required number of interviews.</p> <p>b) The sample size for the preferred STEP sample design was calculated to</p>	<p>No, as per the TORs, 4000 will be submitted</p> <p>yes</p> <p><input type="checkbox"/></p> <p>YES</p>		

Technical Standard	Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date
allow for as much as 50% non-response, which means that a sample of 6,000 households will be selected.	YES		
i) This sample of 6,000 consists of 3,000 ‘initial’ sample cases and 3,000 ‘reserve’ sample cases. The 3,000 ‘initial’ cases will be initially visited in an attempt to obtain the required number of interviews. When a non-response is encountered amongst the ‘initial’ sample, a ‘reserve’ sample case will be activated to compensate for the non-response. The procedures for use of the ‘reserve’ sample will be provided in the field Operations Manual.	YES		
ii) If a survey firm expects more than 50% non-response, more than 6,000 households will need to be selected. For example if a survey firm expects there could be 60% non-response then a sample of at least 7,500 households would be required. If there is an expectation of more than 50% non-response, the survey firm should discuss the non-response expectation and the plans to minimize the non-response with the World Bank team representative.	WE DO NOT EXPECT A HIGHER NON RESPONSE RATE		
iii) If a survey firm expects less than 50% non-response, less than 6,000 households will need to be visited. It is important to note that a survey firm is only required to use as many reserve sample cases as is necessary to obtain the required number of interviews. For example, if a survey firm requires 3,000 interviews and expects a 30% non-response rate (i.e., 70% response rate) then only 4,286 (=300/70%) of the 6,000 sampled cases would be used. In other words, for this example, in order to obtain the required 3,000 interviews, the final sample of 4,286 cases would consist of the 3,000 ‘initial’ sample cases and 1,286 ‘reserve’ sample cases.	YES		
2) Expected Core Pass Rate Considerations (applicable only for countries that will			

Technical Standard						Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date																								
<p>implement the Full Literacy Assessment)</p> <p>a) It is important that the survey yields a sufficient number of Literacy Exercise Booklets to be able to properly report on a country’s literacy level. Hence, the number of interviews required also depends on the expected Core Pass Rate, i.e., the expected number of respondents that will correctly answer at least three Core questions in the General Booklet and proceed to complete a Literacy Exercise Booklet.</p> <p>b) For the purpose of determining the sample size requirement, a reasonable estimate for the Core Pass Rate might be the country’s urban literacy rate. For example, if a country’s urban literacy rate is 90% it might be reasonable to assume that 90% of the selected persons that agree to undertake the literacy assessment will pass the Core portion of the General Booklet and proceed to a literacy Exercise Booklet.</p> <p>Given high participation rates to previous surveys (detailed below), we can expect low non-response.</p>						YES																										
<p><b>Table 1.1: Number of Interviews, by type and urban area, Tupange/MLE, Kenya, 2010</b></p> <table><tr><th rowspan="3">City</th><th colspan="2" rowspan="2">Household survey</th><th colspan="4">Individual interviews</th></tr><tr><th colspan="2">Women (aged 15–49 years)</th><th colspan="2">Men (aged 15–59 years)</th></tr><tr><th>Selected (n)</th><th>Response rate (%)</th><th>Selected (n)</th><th>Response rate (%)</th><th>Selected (n)</th><th>Response rate (%)</th></tr><tr><td>Nairobi</td><td>4,230</td><td>83.8</td><td>3,284</td><td>82.4</td><td>1,817</td><td>70.0</td></tr></table>						City	Household survey		Individual interviews				Women (aged 15–49 years)		Men (aged 15–59 years)		Selected (n)	Response rate (%)	Selected (n)	Response rate (%)	Selected (n)	Response rate (%)	Nairobi	4,230	83.8	3,284	82.4	1,817	70.0	YES		
City	Household survey		Individual interviews																													
			Women (aged 15–49 years)		Men (aged 15–59 years)																											
	Selected (n)	Response rate (%)	Selected (n)	Response rate (%)	Selected (n)	Response rate (%)																										
Nairobi	4,230	83.8	3,284	82.4	1,817	70.0																										

Technical Standard							Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date
Mombasa	2,220	84.4	1,726	84.9	967	70.1			
Kisumu	2,190	85.5	1,944	82.5	1,031	53.7			
Machakos	2,220	90.9	1,965	93.3	N/A	-			
Kakamega	2,220	75.9	1,583	83.6	N/A	-			
Total	13,080	84.0	10,502	85.1	3,815	65.6			
Source: <a href="http://www.urbanreproductivehealth.org/sites/mle/files/Kenya%20Household%20Survey%20Report%20Final%20120312.pdf">http://www.urbanreproductivehealth.org/sites/mle/files/Kenya%20Household%20Survey%20Report%20Final%20120312.pdf</a>							YES		
Country	Topic		Sample size	Year	Response rate (%)				
Kenya	Kenya National Survey for Persons with Disabilities  Source: <a href="http://www.african.org/CDR%20Information/KNSPWD%20Prelim%20Report%20-%20Revised.pdf">http://www.african.org/CDR%20Information/KNSPWD%20Prelim%20Report%20-%20Revised.pdf</a>		15,000 HH,  600 clusters (436 rural and 164 urban)	2008	97				
Kenya	Kenya Integrated Household Budget Survey (KIHBS)  Source:		13,430 HH  1,343 clusters (861 rural and	2005/ 2006	99		YES		

Technical Standard					Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date																				
	<a href="http://www.knbs.or.ke/pdf/Basic%20Report%20(Revised%20Edition).pdf">http://www.knbs.or.ke/pdf/Basic%20Report%20(Revised%20Edition).pdf</a>	482 urban)																									
Kenya	Household Expenditure and Utilization Survey  Source: <a href="http://www.phrplus.org/Pubs/Kenya_HH.pdf">http://www.phrplus.org/Pubs/Kenya_HH.pdf</a>	8,844 HH,  737 clusters (505 rural and 232 urban)	2003	95.2																							
<p>c) In general, if the expected Core Pass Rate is 80% or higher then a minimum of 3,000 interviews will likely yield a sufficient number of completed literacy Exercise Booklets to satisfy the need for reporting a country’s literacy level.</p> <p>d) Table 2 provides the actual number of households that would need to be visited for a few different expected response rates and expected Core Pass rates.</p> <p><b>Table 2: Number of Households to Visit for a Few Core Pass Rates and Response Rates</b></p> <table><tr><th>Desired Sample Yield</th><th>Expected Core Pass Rate [e.g., Estimated Country Urban Literacy Rate]</th><th>Expected Response Rate</th><th>Sample Size for Core Pass Rate &amp; Response Rate [Actual # of Households to Visit]</th></tr><tr><td><i>n</i><sub>0</sub></td><td><i>C</i><sub>P</sub></td><td><i>R</i></td><td><i>n</i><sub>1</sub></td></tr><tr><td>3000</td><td>80%</td><td>70%</td><td>4286</td></tr><tr><td>3000</td><td>70%</td><td>70%</td><td>4898</td></tr><tr><td>3000</td><td>60%</td><td>70%</td><td>5714</td></tr></table>					Desired Sample Yield	Expected Core Pass Rate [e.g., Estimated Country Urban Literacy Rate]	Expected Response Rate	Sample Size for Core Pass Rate & Response Rate [Actual # of Households to Visit]	<i>n</i> <sub>0</sub>	<i>C</i> <sub>P</sub>	<i>R</i>	<i>n</i> <sub>1</sub>	3000	80%	70%	4286	3000	70%	70%	4898	3000	60%	70%	5714			
Desired Sample Yield	Expected Core Pass Rate [e.g., Estimated Country Urban Literacy Rate]	Expected Response Rate	Sample Size for Core Pass Rate & Response Rate [Actual # of Households to Visit]																								
<i>n</i> <sub>0</sub>	<i>C</i> <sub>P</sub>	<i>R</i>	<i>n</i> <sub>1</sub>																								
3000	80%	70%	4286																								
3000	70%	70%	4898																								
3000	60%	70%	5714																								

Technical Standard					Agreed to by the Survey Firm?	Deviation Requested from the Standard	Deviation Approved by the Survey Methodologist? Date
	3000	80%	60%	5000			
	3000	70%	60%	5714			
	3000	60%	60%	6667			
	3000	80%	50%	6000			
	3000	70%	50%	6857			
	3000	60%	50%	8000			
	3000	80%	40%	7500			
	3000	70%	40%	8571			
	3000	60%	40%	10000			
e) The above table clearly does not include all possible combinations of expected Core Pass Rate and Response Rate. If a country’s expected rates are not included in the above table, the Survey Firm should contact the World Bank Survey methodologist to discuss the country’s expectations for the Core Pass Rate and the Response rate so that the survey firm and World Bank Survey methodologist can together determine the actual country-specific estimated number of households that will need to be visited to yield the required number of interviews.							
f) In addition, for the Full Literacy Assessment, the final sample of completed literacy booklets must yield an equal number of each of the four Exercise Booklets.							
g) The survey firm is required to actively monitor the survey returns to ensure that the required equal distribution of literacy Exercise Booklets is achieved.							

<i>Information Required</i>	<i>Sample Size and Assumptions</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
<b>1. Sample Size</b>			
a) Provide the country's <b>final sample size goal</b> by sample design variable E.g. Total Sample Size by strata, by PSU, etc. <u>Note: Minimum Sample Size</u> - 6,000 households (3,000 for the initial sample and 3,000 for the reserve sample).	8000		
<u>Sample size determination assumptions:</u> b) What is the expected response rate?	90%		
c) What is the expected Core Pass rate (or if using adult literacy rate as a proxy, the urban adult literacy rate)	75%		
d) <b>If applicable:</b> Provide the <b>rationale for additions to the sample size</b> to satisfy country-specific data analysis objectives.	NA		
e) Data analysis objectives E.g., identify the important data breakdowns or survey estimates to be derived from the survey data.	A WB QUESTION		
f) Precision goals for the survey estimates.			

### 3.4. Sample Design

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
A probability sample design whereby each person in the survey population has a known (i.e., calculable), non-zero chance of being included in the sample must be	YES		

<i>Technical Standard</i>	<i>Agreed to by the Survey Firm?</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
used.			
In addition, the sample selection process must be objective (i.e., a random selection method must be used) at all stages of sample selection.	YES		
<b>Preferred Sample Design:</b> A sample of at least 6,000 households (i.e., 3,000 initial sample and 3,000 reserve sample) will be selected in at least two stages. <b>1. In the first stage</b> , at least 200 small territorial areas (hereafter referred to as <i>Primary Sampling Units</i> , or <i>PSUs</i> ) will be selected with probability proportional to size (PPS). <b>2. In the second stage</b> , 15 households will be systematically selected as the target sample in each selected PSU. In addition, 15 households will be systematically selected as the reserve sample in each selected PSU. <b>3. Subsequently, at a third stage</b> of sample selection the main respondent will be randomly selected in each visited household from among all household members aged 15 to 64 years. The selection method for the main respondent is described in the household questionnaire. The substitution of the main respondent is not allowed.	YES	PRIMARY SAMPLING UNITS HAVE BEEN DRAWN BY THE KNBS, WITH PROPORABILITY PROPORTIONAL TO SIZE FOR EACH STRATUM	
<ul style="list-style-type: none"> <li>The ‘preferred’ sample design is a multi-stage design that employs sampling with probability proportional to size (PPS) for as many stages as practically possible.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>The selection of households (15 initial sample and 15 reserve sample) within selected PSUs will follow STEP Consortium guidelines.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>All countries must use the same procedure for selecting a household within a multi-household dwelling, if applicable. The procedure will be provided by the STEP Consortium.</li> </ul>	YES		
<ul style="list-style-type: none"> <li>All countries must use the same procedure for selecting a person within a household. The procedure will be provided by the STEP Consortium.</li> </ul>	YES		

### 3.5. Sample Selection

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

<i>Information Required</i>	<i>Information Provided (Type, Date, Source)</i>	<i>Deviation Requested from the Standard</i>	<i>Deviation Approved by the Survey Methodologist? Date</i>
1) Sample Frame of Primary Sampling Units (PSUs) a) The Survey Firm will provide a file containing the most current list of PSUs to the STEP Consortium. b) The list must include a suitable measure of size (e.g., number of households, number of persons 15 to 64, number of persons) for each PSU for selecting the sample of PSUs with probability proportional to size. c) Upon receipt of the sample frame and agreement of its suitability for STEP sampling, the STEP Consortium will select the initial sample of PSUs, and a reserve sample of PSUs for use when it is not possible to conduct any interview in an entire initially-selected PSU	NO	KNBS PROVIDED ONLY THE DRAWN PSUS, WITH THE PROBABILITY OF SELECTION	

### 3.6. Response Rate Goal and Non-Response Bias Assessment

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

<i>Information Required</i>	<i>Proposed Plan to Assess Non-response Bias</i>	<i>Deviation Requested from the Standard</i>	<i>Approved by the STEP Team? Date</i>
<b>1. Non-response Bias Assessment</b> <ol style="list-style-type: none"> <li>Each participating country will carry out an assessment of the bias due to non-response and report the findings to the STEP Team who will decide whether an asterisk/footnote will accompany the country's survey results in the STEP international survey publications.</li> <li>Results from countries with response rates below 50% will not be published unless the country can provide the WB with evidence that the potential bias introduced by the low response rates is unlikely to be greater than the bias associated with response rates above 70%.</li> <li>If a country attains less than a 50% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the STEP Team, the country's survey results may be included in the STEP international survey publications with asterisks and footnotes as appropriate.</li> <li>The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include:</li> </ol>	<p>Non-response bias analysis if response rate is under 50%</p> <p><b>1-Examination of Response Rates</b></p> <ul style="list-style-type: none"> <li>○ Classify non-respondents by reason (e.g. non contact, refusals)</li> <li>○ A comparison of response rates: <ul style="list-style-type: none"> <li>○ per PSU</li> <li>○ per stratum</li> <li>○ per enumerator (gender of the enumerator)</li> <li>○ per listed type of building (information taken from the listing file)</li> <li>○ per type of building (if information available for all households in the sample)</li> <li>○ by size of the household (if information available for all</li> </ul> </li> </ul>		

<ul style="list-style-type: none"> <li>▪ A non-response follow-up study. Such a study requires following up with a set of non-respondents and then comparing the characteristics of the follow-up respondents to those of the original set of respondents to assess non-response bias. A possible non-response follow-up procedure is to ask non-respondents a brief set of questions related to background questionnaire items.</li> <li>▪ A comparison of sample counts of key respondent variables to external totals from a reliable source;</li> <li>▪ A comparison of respondents and non-respondents on auxiliary Sample Frame variables;</li> <li>▪ A comparison of response rates by industry subgroup;</li> <li>▪ A comparison of estimates before and after weighting adjustments;</li> <li>▪ A comparison of “late” or “hard-to-contact” or “non-cooperative” respondents to “early” or “easy-to-contact” or “cooperative” respondents;</li> <li>▪ Calculation of the range of potential bias.</li> </ul>	<ul style="list-style-type: none"> <li>households in the sample)</li> <li>○ by gender of the head of household (if information available for all households in the sample)</li> <li>○ by level of income (if information available for all households in the sample)</li> <li>○ Estimate the probability of participating in the survey assuming a missing at random model for non-respondents; the logit model will be used for this purpose.</li> <li>○ The design weight could thus be adjusted by the probability to participate to the survey</li> </ul> <p><b>2- Benchmarking: sample counts of key respondent variables to external totals from previous surveys (2009 census and Kenya Tupange/MLE 2010 Baseline Survey:</b></p> <ul style="list-style-type: none"> <li>○ Main characteristics of the respondents,</li> <li>○ Comparison of household composition of respondents (number of people, age group, level of income and gender)</li> <li>○ The step consortium should provide design weights in order to compute estimates</li> </ul>	
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### 3.7. Weighting

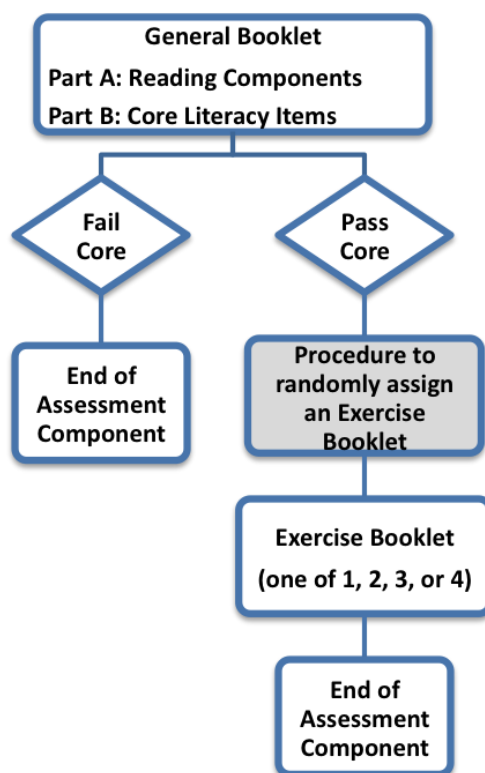
The Weighting will be carry out by the STEP Survey Methodologist.

[illegible]

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

## 4 Appendix

### Appendix 1. Workflow – Full Literacy Assessment



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

**- EDITED -**

## Appendix 3. Survey Firm Experience

Survey Planning/ Implementation, Private Sector Development

World Bank (2012)	Financial Literacy survey of Households in Mongolia
Mongolia	The Financial Literacy Survey is part of the Global Program on Consumer Protection and Financial Literacy of The World Bank Group. This Program seeks to help countries achieve concrete measurable improvements in financial literacy and consumer protection. This survey is an initiative to obtain country-specific information regarding households' prevailing levels of understanding of basic financial concepts, their patterns of budget management and their usage of financial services. The objective of this survey is to have a baseline analysis of the levels of financial literacy across the population. This baseline analysis will:
S	Outline what the policy priorities are;
PSD	Assist authorities in designing appropriate interventions to increase the level of financial literacy;
	Help define targets that are realistic and can be monitored
	Specifically, the Financial Literacy Survey is intended to be a national representative survey of an approximate sample of 2,500 households. The sample design was based on a two-stage probability sample. Urban and rural areas were included as domains of study. The Kish grid was used to select the respondent of the survey out of all eligible respondents in a household. The eligible respondents were household members aged 20 or older and were responsible, wholly or partly, for the household budget or for their own personal spending. The survey gathers information from them about their money management, financial planning, usage of financial products and services, levels of financial literacy and sources of income and earnings.
	EEC Canada was responsible for the overall management, planning, and supervision of the survey. This included designing the sampling methodology, planning and monitoring the fieldwork, training of interviewers, supervision of interviewers, implementation of quality controls, validation and auditing of questionnaires, and data entry and cleaning.

## Survey Planning/ Implementation, Private Sector Development

World Bank (2011-2012)  Central America – 6 Countries (Nicaragua, Costa Rica, Guatemala, El Salvador, Honduras, Panama)	<p>Trucking Survey</p> <p>EEC Canada was mandated by the World Bank to conduct a trucking survey in Nicaragua, Costa Rica, Guatemala, Honduras, El Salvador and Panama. The objectives of the Central America Study are to identify key bottlenecks in the development of Central America's infrastructure platform for growth and competitiveness, and to provide policy guidelines that address those improvements. The survey consisted of a series of structured, face-to-face interviews with key senior managers/owners of trucking enterprises and with individual truck operators who owned or leased their trucks to function as independent businesses.</p> <p>The sample targeted at least 120 data points for all types of routes in each country, for a minimum total of 720 vectors of information (or Origin/Destination combinations).</p>
World Bank (2011)  Ethiopia	<p>Rural access survey – Ethiopia</p> <p>EEC Canada was mandated by the World Bank to conduct a rural access survey, with a trucking component. The main objective of this survey was to build data and knowledge about the rural transport services in Ethiopia, particularly the segments that are relevant to the farming population and the agriculture sector in particular. More specifically, it intended to achieve the following objectives:</p> <ul style="list-style-type: none"> <li>To identify operational, economic and financial characteristics, including costs and prices, of transport services available in various Ethiopian rural and small town areas, and, as feasible with the available resources, the extent to which such services meet the transport needs of people from rural villages;</li> <li>To construct a database for the characteristics of the transport services;</li> <li>To assess constraints of, and necessary conditions for, development of transport services, and;</li> <li>To do a preliminary assessment of the poverty and social impacts of different potential strategies to enhance rural accessibility.</li> </ul> <p>The survey covered 9 market towns located in three rural areas of Ethiopia. This allowed for the largest sample size (number of data points collected) per stratum and sub-category.</p> <p>The targeted sample structure included a total of 360 respondents divided into 135 transportation service users (farmers, traders and others) and 225 transportation service providers (divided by type of transportation vehicle: trucks, other motorized vehicles and non-motorized vehicles) for a total of 720 Origin/Destination combinations.</p>

## Survey Planning/ Implementation, Private Sector Development

World Bank (2011)	Employer and household survey of skills
Lesotho	<p>EEC Canada was mandated by the World Bank to carry out research aimed at providing the analytical inputs for the development of a policy framework for post-basic education. To this end, two closely linked surveys were carried out: (1) a household survey covering a sample of 1500 households with individuals age 45 and below, in all 10 districts of the country; (2) an enterprise survey of 308 employers in the country.</p> <p>The surveys helped identify the extent of the impact of the crisis on vulnerable individuals, including dismissed workers and out of school youth. In the medium run, the data generated from the surveys are helping to identify:</p> <p>The competencies required by the formal and informal labor markets, providing inputs for reforms in the education and training systems.</p> <p>The government policies that can assist those who drop out from school to upgrade their skills and enter the labor force.</p> <p>How post-basic education systems can be made flexible enough to adapt quickly to changing needs in the labor market in a time of economic crisis.</p>
Inter-American Development Bank (2010-2011)	Caribbean enterprise Survey 2010
Antigua and Barbuda, Barbados, Bahamas, Belize, Dominica, Dominican Republic, Grenada, Guyana, Jamaica, Ste Lucia, St Kitts and Nevis, St Vincent and the Grenadines, Suriname Trinidad & Tobago	<p>The project involves carrying out three Enterprise Surveys and eleven Indicators Surveys aiming to studying the business climate in 14 Caribbean countries. For each country, all the tasks from planning to implementation will be completed by EEC Canada. The final product of each survey will be data-set, containing the answers of sampled respondents (random stratification method), on which continuous quality control and data validation procedures will be run by EEC. A sampling note will also be completed.</p> <p>During this survey, 2730 business establishments (top management and employees) will be interviewed, using 3 different types of questionnaires with both open and close-ended questions. The following strata of establishments were targeted:</p> <p>Manufacturing sector (5 employees and more)</p> <p>Retail sector (5 employees and more)</p> <p>Rest of the Universe: IT, Construction and Transport, Hotels and Restaurants, Wholesalers (5 employees and more)</p>
S	
PSD	

## Survey Planning/ Implementation, Private Sector Development

World Bank (2010)	Trucking Survey - Vietnam
Vietnam	EEC Canada conducted a trucking survey in Vietnam. The target sample covered 6 types of routes from 18 points of origin distributed across the country, to generate a total of 720 independent vectors of data. This translated into 310 entities to interview: a) 50 companies covering up to 6 types of routes (300 data points on routes); b) 80 companies covering up to 3 types of routes (240 data points on routes); and, c) 180 companies covering only one route (180 data points on routes). EEC's mandate consisted in designing the survey tools (questionnaires, data entry screens, training manual, quality control tests), preparing a sampling strategy, conducting the survey (from recruiting local coordinators, appointment takers, supervisors, enumerators, and data-entry persons, to piloting, and actual surveying), controlling for the quality of the data and preparing a final survey note.
S	
World Bank (2010)	The Business Environment in 26 Nigerian States - 2010
Nigeria	In this paper (a chapter of the Bank's ICA Assessment Report) EEC identified the characteristics of the business climate in Nigeria to help explain the different performance of individual states in terms of investment and growth. This was achieved by summarizing the different aspects of the business environment entrepreneurs look at when deciding whether to invest or not, and comparing perceptions of respondents to indirect cost indicators.
PSD	
World Bank (2010)	The Business Environment in 26 Nigerian States – 2010 (the main obstacles state by state)
Nigeria	This paper is an appendix presenting the main investment climate obstacles on a State-by-State basis, with a comparison to the 26 States of Nigeria taken as a group. The paper contains an analysis at the State level of the obstacles expressed by firms as part of their top three constraints to their business, as well as a set of indirect cost indicators of infrastructure services, finance, security and corruption. The purpose of that appendix was to understand the regional disequilibrium in terms of perceived constraints to business, and to determine the correlation between regional growth (as measured by GDP growth and firm localization) and those perceived constraints. Indeed, apart from the consensus on electricity as the number one constraint to business, the obstacles were perceived quite differently across States. The analysis has shown that some constraints (especially corruption and transportation) were perceived as highly damageable for North and Central States, which appeared to be coincidentally States with fairly low GDP per Capita. Relatively richer states of Nigeria (i.e Delta, Rivers, Akwa Ibom) were more concerned about financing challenges such access to and cost of finance. This underscored the need to adapt policies on a regional basis in order to take into account regional disparities.
PSD	

## Survey Planning/ Implementation, Private Sector Development

World Bank (2010)	The Investment Climate for micro firms - 2010
Nigeria	Understanding the characteristics of micro firms, their impediments to growth and their reasons for eventually choosing to remain informal and very small is essential for the Government to design appropriate policies that will encourage firms to become formal, stimulate industrial growth and reduce the current dualism in the economy. This paper (a chapter of the Bank's ICA Assessment Report) identified and examined the main constraints faced by micro firms in Nigeria as well their impact on cost and productivity. The paper also contains an analysis of the reasons expressed by firms to register or remain unregistered, as well as on the perceptions of small firms as to what constitutes the advantages or disadvantages of registration in different States of Nigeria. The paper also included a comparison between registered and not registered micro (less than 5 full-time employees) and very small firms (bigger than micro but with no more than 10 employees) and a discussion of the main impediments to formalization.
PSD	

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## Survey Planning/ Implementation, Private Sector Development

World Bank (2010)	Employer and Employee Survey of Skills/Labor Demand and Job Vacancies Survey - Botswana
Botswana  S  PSD	<p>This survey aims to identify policy directions and options to align the skills demand and supply in Botswana to help achieve Botswana's vision of a diversified knowledge economy. The purpose of the survey is to probe deeper in identifying human resource requirements and skill gaps from the viewpoint of employers and employees, and to use this information to shape the debate to make both education systems and labor markets more conducive to growth. Specifically, the survey has been designed to help answer the following four main groups of questions:</p> <p>(a) What kinds of jobs (in terms of their skill content) are being created? What kinds of jobs are being destroyed? Is labor demand moving away from less skilled jobs towards more skilled jobs?</p> <p>(b) What are the characteristics of job vacancies (skill requirements and wage offered)? What skills are in high demand? What skills are in low demand? Are the skills of the available workforce a constraint to hiring, firm growth and good performance on the job? How difficult is it to find a worker with required skills? Is the skill mismatch (gap) a significant problem? Where are the main skill gaps? How does the demand for skills vary between small vs. large firms, national vs. multinational firms, firms producing for the domestic market vs. exporting firms, and firm activity? What is the impact of changing work practices on the demand for skills?</p> <p>(c) What is the role of training? Do firms provide such training and to which workers? If not on-the-job training, then do firms offer access to training conducted by either public or private enterprises?</p> <p>(d) What are the characteristics of the young workers hired by the firm? What skills do they bring? What are their main skill gaps and how they relate to their education qualification? What are the firm policies to ensure skill upgrading of these young workers? The survey consisted of a series of structured face-to-face interviews with senior human resource managers/owners of 500 employers and 2,500 employees in two cities, Gaborone and Francistown, with a sample representing most sectors of activity and sizes.</p> <p>The sampling strategy consisted in approaching all establishments eligible for the survey in Gaborone and Francistown, essentially conducting the survey as if it were a non-compulsory census. EEC Canada was responsible notably for the overall management, planning, and supervision of the survey. This included planning and monitoring the fieldwork, training of interviewers, supervision of interviewers, implementation of quality controls, validation and auditing of questionnaires, and data entry and cleaning.</p>
World Bank (2010)	Analysis of the Pre-Shipment Export Finance Guarantee Facility - Tunisia
Tunisia	Analysis of the pre-shipment export finance guarantee facility in Tunisia, providing (i) an overview of the evolution of key indicators of activity and performance of the facility, (ii) a SWOT analysis and (iii) clarification of prerequisites for a possible extension of funds to other sectors, or other financial products

## Survey Planning/ Implementation, Private Sector Development

World Bank (2010)	Export Support Institutions Review - Tunisia and Algeria
Tunisia and Algeria	Analysis of export support institutions in Tunisia and Algeria, resulting in: (i) a mapping of the current system, (ii) an assessment of the efficiency of existing institutions, (iii) a calibration Promotion Agencies exports from other countries and finally (iv) a "roadmap" setting out the key actions to ensure system continuity and institutional formula incorporating best practices in compliance with presence capabilities.
CIDA (2010)	Economic recovery strategy for Haiti (2010)
Haiti	EEC has been mandated by CIDA to provide support to the Ministry of Economy and Finance of the Republic of Haiti after the disaster of January 12. EEC Canada was invited to present a paper to the Minister, on the Role of SMEs in developing economies and incentive frameworks for SME development in a post-disaster context. EEC Canada also contributed to a report entitled: "The challenge of economic reconstruction in Haiti: Integrated Policy Framework for the short, medium and long term", Synthesis Report, March 2010 - Canadian International Development Agency CIDA / PATH Project, March 2010
PSD	
World bank (2009)	Enterprise Survey (Investment climate and productivity survey)
Nigeria	The project involves carrying out surveys on the Investment Climate and Productivity in 26 States of Nigeria. For each State all the tasks from planning to implementation will be completed by EEC Canada. The final product of each survey will be data-set, containing the answers of sampled respondents (random stratification method), on which continuous quality control and data validation procedures will be run by EEC. A sampling note will also be completed.
Sample Size: approx. 3,120 establishments	
S	During this survey, 3,120 business establishments (top management and employees) will be interviewed, using 4 different types of questionnaires with both open and close ended questions. The following strata of establishments were targeted:
PSD	Manufacturing sector (5 employees and more)  Retail sector (5 employees and more)  Rest of the Universe: IT, Construction and Transport, Hotels and Restaurants, Wholesalers (5 employees and more)  Micro establishments (less than 5 employees)
World bank (2009)	Export Processing Zones survey
Nigeria	The project involves carrying out surveys on the Export Processing Zones across Nigeria. For each EPZ covered all the tasks from planning to implementation will be completed by EEC Canada. The final product of the survey will be a data-set, containing the answers of sampled respondents (random stratification method), on which continuous quality control and data validation procedures will be run by EEC. A sampling note will also be completed.
Sample Size: approx. 100 establishments	
S	During this survey, 100 business establishments (top management and employees) will be interviewed, using the 4 different types of ICA questionnaires with both open and close ended questions, to which a specific EPZ module will be added.
PSD	

## Survey Planning/ Implementation, Private Sector Development

<p>CIDA (2009)</p> <p>Cuba</p> <p>PSD</p>	<p>Economic Modernization of the State</p> <p>Étude Économique Conseil (EEC Canada) was commissioned by the Canadian International Development Agency (CIDA) to trace the paths of economic modernization of Cuba that Canada could support. EEC Canada analyzed the factor endowment of Cuba, identified its comparative advantages, its ability to respond to international demand, its potential for growth within the global economy and its institutional characteristics. EEC Canada recommended a course of actions intended to generate the greatest economic impact, in the shortest time reasonably possible, given the resources Canada is able to mobilize in its program of cooperation with Cuba.</p>
<p>World bank (2009)</p> <p>Algeria, Morocco, Tunisia</p> <p>Sample Size: approx. 600 establishments</p> <p>S</p> <p>PSD</p>	<p>Barriers to regional integration in the maghreb</p> <p>The purpose of this project is to carry out structured interviews of establishments in each of the Survey countries. Two specific surveys are being conducted:</p> <p>A first survey related to firms engaging in merchandise and service activities – the “barriers to intraregional trade survey”;</p> <p>A second survey related to Foreign Direct Investment (FDI) in the Maghreb region, the “barriers to intraregional FDI survey”.</p> <p>Each survey covers establishments with 5 employees and more in the manufacturing and service sectors. EEC Canada is conducting these surveys across the three countries and is responsible of survey tasks, from planning to implementation. This includes questionnaire design, data-entry programming, data-quality control procedures, planning and monitoring of field work, training of interviewers, supervising enumerators, implementing quality controls, validation and auditing of questionnaires as well as data entry and cleaning. The final product of each survey is a data-set, containing the answers of sampled respondents (random stratification method), on which continuous quality control and data validation procedures have been run by EEC. A final methodological note on sampling will also be delivered.</p> <p>Through this survey, approximately 600 business establishments (top management) will be interviewed, using 2 different types of questionnaires with both open-ended and multiple choice questions.</p> <p>In addition, EEC Canada has offered to organize a series of 10 to 15 Focus Group Sessions to allow for more open ended discussions on the topics of the survey and hence offer the World Bank a wider and more in depth perspective of the data collected in the surveys.</p>

## Survey Planning/ Implementation, Private Sector Development

<p>World bank (2008)</p>	<p>Bank Corporate Governance study – Tools design</p> <p>The Corporate Governance Policy Practice Unit (CGGPP) has developed a toolkit to conduct diagnostic reviews of bank governance practices to support WB's client countries reform agenda on corporate governance. The CCGPP toolkit is composed of 4 items: a supervisory questionnaire, a bank specific questionnaire, a bundle of bank specific financial indicators, and a legal and regulatory template. The exercise aims at providing a set of policy recommendations for countries seeking to foster corporate governance practices in their respective banking sectors.</p> <p>The CCGPP hired EEC Canada to convert components of the toolkit (bank specific questionnaire and legal and regulatory template) into a survey tool. The need for the survey arises from the importance of establishing firm-level and legal-regulatory level evidence to support a wide range of policy reforms in the reviewed countries and quantify the potential impact of the recommended course of action stemming from the country reviews.</p> <p>The purpose of EEC mandate is to carry out a structured revision of one/two tools of the bank governance review process, namely the bank specific questionnaire (and the legal/regulatory framework). The revision plan is structured in three phases:</p> <p>Identification of measurable items (Information road map)</p> <p>Conversion of the questionnaire into a survey product (Survey conversion)</p> <p>Map the items back to the benchmarks</p>
<p>World bank</p> <p>Ghana, Mali Mozambique, Senegal, South Africa, Zambia</p> <p>(2008)</p> <p>Sample Size: approx. 640 establishments</p> <p>S</p> <p>PSD</p>	<p>Gender survey: 6 countries</p> <p>Equal opportunities for men and women are crucial for regional sustainable development and for preventing market distortions. A detailed Gender questionnaire has been designed to survey a sample of female and male led enterprises and examine more in depth the background of the owner, the involvement of owners in the management of the firm, their values and management style and, delineate the specific challenges faced by women owners/managers.</p> <p>EEC Canada implemented a panel survey for a sample of 640 enterprises already interviewed in the context of the ICA surveys. In addition, a screener survey was also completed for 2,700 establishments.</p>

## Survey Planning/ Implementation, Private Sector Development

World bank	Investment climate and productivity survey – 26 Countries
malawi, niger, cameroon, Burkina Faso, Cape Verde, Angola, Botswana, Burundi, DRC, Gambia, Guinea- Bissau, Guinea- Conakry, Mauritania, Namibia, Rwanda, Swaziland, Tanzania, Uganda, Kenya, Ghana, South Africa, Zambia, Mozambique, Mali, Senegal, Nigeria	<p>The project involved carrying out a series of surveys on the Investment Climate and Productivity in 26 English, French and Portuguese-speaking African countries in 4 separate roll-outs. During each roll-out, EEC had to coordinate the surveys both on substance and from a logistical point of view to produce quality data sets usable for international comparisons. For each country all the tasks from planning to implementation were completed by EEC Canada. The final product of each survey was a data-set, containing the answers of sampled respondents (random stratification method), on which continuous quality control and data validation procedures were run by EEC.</p> <p>Through this survey, more than 13,000 business establishments (top management and employees) were interviewed, using 5 different types of questionnaires with both open and close ended questions. The following strata of establishments were targeted:</p> <p>Manufacturing sector (5 employees and more)</p> <p>Food</p> <p>Garment</p> <p>Rest of manufacturing</p> <p>Retail sector (5 employees and more)</p> <p>Rest of the Universe: IT, Construction and Transport, Hotels and Restaurants, Wholesalers (5 employees and more)</p> <p>Micro establishments (less than 5 employees)</p> <p>This project required recruiting, training, supervising, and managing close to 1 000 enumerators. Moreover, approximately 300 meetings/contacts occurred between EEC Country teams and government ministries, statistical agencies, and business associations (Chambers of Commerce and Industry, business sector associations, employers' federation) in an effort to collect background information, increase buy-in and transfer know-how.</p>
(2005-2008)	
Sample Size: approx. 13,000 establishments	
S	
PSD	

## Survey Planning/ Implementation, Private Sector Development

World bank	Sub-Saharan Africa Trucking Sector Survey: 9 Countries
Burkina Faso Cameroon, Chad, Ghana, Kenya, Malawi, Mozambique, Uganda, Zambia	The project involved carrying out a survey on the Trucking Industry in 9 African countries. For each country EEC was responsible for the overall management, planning, and supervision of the survey, including planning and monitoring the fieldwork, training and supervision of interview enumerators, implementation of quality control, validation and auditing of questionnaires, and data entry and cleaning.
(2007-2009)	The overall sample size in the nine countries was a total of 750 trucking establishments and truck drivers.
Sample Size: approx. 750 trucking establishments and truck drivers	
S	
PSD	
World bank	Investment Climate Assessment in Burundi
Burundi	EEC has produced the Investment Climate Assessment report of Burundi from the Enterprise Survey data collected in 2006. This report included a list of key business environment indicators used in benchmarking analysis of Burundi with comparator countries. The key results of the ICA have been presented by EEC during a workshop with sixty participants from both the public and private sectors.
(2007-2008)	
PSD	
World bank	Training and capacity building on Investment Climate Surveys in Nigeria
Nigeria	The central objective of this mandate was to increase Nigerian capacity to participate in future enterprises surveys (ES) and Investment Climate Assessments. The substance of the training program was to transfer know-how on key aspects of the ES and data analysis.
(2007-2008)	
S	
PSD	Three areas were covered: pre-survey planning activities (delineating of the statistical universe, selection of respondents, preparation of the stratified master list, schedule of implementation, recruitment of enumerators, design of the questionnaires, data-entry forms, etc.) survey implementation and control procedures (tools used to implement the survey on a daily basis, methods used for call-backs, control data-entry and internal consistency checks, etc.), post-survey analysis (effective meaning of questions and variables, subjective and objective measures of investment climate).
	The training was provided to a group of 20 persons. Two training methods were used: formal or in-class sessions, and on-the-job training (during key moments of the ES to demonstrate ways with which tasks are accomplished).

## Survey Planning/ Implementation, Private Sector Development

<p>CIDA</p> <p>Benin, cote d'ivoire, burkina faso, mali, niger, senegal</p> <p>(2005-2006)</p> <p>S</p>	<p>Monitoring and ongoing Evaluation of the Project in Support of the Development of the Skills of Agricultural Leaders in West Africa</p> <p>Monitoring and ongoing evaluation of the project in support of the skills of agricultural leaders in West Africa in its current phase of development. This project constitutes a follow up and an extension to 2 more African countries (Benin, Cote d'Ivoire) of a mandate given to EEC in Niger, Burkina Faso, Mali and Senegal.</p>
<p>InterAmerican Development Bank (WB)</p> <p>CA4 - Honduras, Guatemala, Nicaragua, El Salvador</p> <p>(2005-2006)</p> <p>S</p>	<p>Support in the preparation of a program for the development of the agricultural insurance market in Central America – CA4</p> <p>Support in the design of a program aimed at the development of the agricultural insurance market in Central America, specifically in Honduras, Guatemala, Nicaragua, and El Salvador, involving: (i) analysis of the agricultural sector in CA4; (ii) analysis of the issues surrounding agricultural insurance and its low penetration rate in CA4; (iii) establishment of a baseline for a program aimed at the development of agricultural insurance markets in CA4; (iv) identification and documentation of relevant existing information systems in CA4; and (v) design of a monitoring system for such a program. In-depth interviews were carried out in the four countries with the aid of structured interview guides permitting the interviewer to effectively capture all the dimensions of the problem, both qualitative and quantitative. EEC carried out an average of 20 in-depth interviews per country for a total of 80.</p>
<p>FIDE</p> <p>Honduras</p> <p>(2005-2006)</p> <p>S</p> <p>PSD</p>	<p>Creation of a national foreign direct investment strategy in Honduras – Study of the light manufacturing sector</p> <p>Development of a foreign direct investment promotion strategy specifically for the light manufacturing sector by identifying a selection of promising sub-sectors towards which Honduras should concentrate its efforts. Analysis of current activity in Honduras' light manufacturing sector based on structured and in-depth interviews carried out with foreign firms established in Honduras, as well as a sub-group of 30 Honduran light manufacturing enterprises and 20 to 30 foreign firms outside of Honduras. The study required benchmarking and reviewing of the DFI situation of China, Brazil, Mexico, Panama, Costa Rica and Guatemala. The trends of international allocation of FDI in a few specific sectors were also analyzed (automotive sector and the garment industry). And, the cases of the low labour cost-low transportation cost of some European businesses investing in North Africa were reviewed. Analysis of Honduras' strengths-weaknesses-opportunities-threats as compared to a selection of countries. Elaboration and design of an operational foreign direct investment promotion strategy targeted at the light manufacturing sector. The total sample included 75 firms. The sample of respondents comprised among others, potential and actual (successful and unsuccessful) Foreign Investors in headquarters and foreign location, national competitors, and national suppliers.</p>

## Survey Planning/ Implementation, Private Sector Development

<p>CARICOM</p> <p>The caribbean: guyane, trinidad and tobago, barbados, st- lucia, granada, antigua, montserrat, st-kitts-nevis, jamaica, the dominican republic, belize and st-vincent</p> <p>S</p> <p>PSD</p>	<p>Design and implementation of a regional development planning methodology</p> <p>EEC was involved in the four phases of the project: economic planning, national and statistical accounting, economic programming and project analysis.</p> <p>Phase I (Economic Planning): Design of a planning methodology based on the input/output technique and on the study of industrial clusters.</p> <p>Phase II (National and Statistical Accounting): Preparation of a general format for the collection of empirical data used in a macro-economic analysis of the Caribbean common market and permitting the application of the methodology designed during Phase I. A survey including 400 businesses was conducted.</p> <p>Phase III (Economic Programming): Through the identification and classification of priority development sectors, analysis of the main industrial clusters. Planning organization necessary to carry out an integrated development of the selected sub-sectors. Preparation of short- medium-, and long-term investment programs.</p> <p>Phase IV (Project Analyses): Identification and microeconomics analysis of about twenty investment projects within the Caribbean common market. These projects covered the following sectors: housing, wood and wood products, fisheries, food products, textile and clothing, leather and other products and other manufacturing sectors.</p>
<p>The caribbean commonwealth secretariat</p> <p>Caribbean</p>	<p>Intraregional trade promotion strategy</p> <p>EEC's consultants collaborated on this project aimed at strengthening intra-regional trade amongst the member countries of the Caribbean Common Market (CARICOM). The mandate included:</p> <p>A census of over 1 000 producers</p> <p>The analysis of trade flow between member countries of CARICOM</p> <p>The elaboration of policies for the strengthening of intra-regional trade</p>

## Survey Planning/ Implementation, Private Sector Development

UNIDO  17 countries including: Algeria, Benin, Guinea, Senegal, Cameroon, Ivory Coast, Madagascar, Rwanda, Togo, Tunisia, Zaire  PSD	Strategic Management of Industrial Development (SMID)  Implementation of the SMID approach put forward by UNIDO in the context of major economic reforms. The project dealt, amongst others, with questions of : (i) fixing the business environment with respect to conditions of access to production factors (water, electricity, telecommunications); (ii) the organization of financial systems; (iii) the reorientation of managerial goals, public services, and institutions supporting the private sector, and (iv) sector analysis and strategic design for industrial clusters with a focus on collaborative strategies (between clients and suppliers, public and private entities, industrial businesses and support service providers, etc).  In Tunisia, EEC Canada prepared the substantive material and delivered a national workshop on industrial adjustment and the corresponding public policy content, in the context of freer trade in Tunisia.  In Algeria, EEC Canada conducted with UNIDO a series of policy dialogue rounds on industrial policy. In this context, numerous case studies were prepared. A large number of strategic approaches were discussed and policies were reviewed.
CIDA  senegal  (2004)  S  PSD	Sector analysis and strategic recommendations with respect to the popular economy (informal sector)  Elaboration of an analysis by sector of CIDA's interventions in Senegal, which involved (i) Analysis of projects carried out by CIDA in the domain of the popular economy, (ii) Analysis of the business climate and of private sector development policy in Senegal (including a review of surveys carried out in 2004 on the urban informal sector), (iii) Identification of the constraints which, at a political, economic, and social level, could influence the strategy for CIDA's activities in Senegal, (iv) Highlighting of the national, regional and international issues and potential risks that could impact the operation of the Canadian cooperation program, (v) Highlighting of the preoccupations and priorities of the Senegalese authorities and particularly of those that flow from their Poverty Reduction Strategy, (vi) Analysis of the various sector policies either developed or being developed, and (vii) Identification of the best methods of program delivery.
CIDA  Ghana  (2002-2003)  PSD	Appraisal of the economic recovery program  In the context of a review of the interventions of the CIDA in support of the private sector, assessment of the impact of the structural adjustment reform with a view towards improving the business climate.

## Survey Planning/ Implementation, Private Sector Development

Minister of the Economy and Finance Senegal (2001) S PSD	<p>Review and perspectives of the Private Sector Foundation</p> <p>Evaluation of the Private Sector Foundation in Senegal whose goal is to contribute to improving competitiveness and growth in Senegal's private sector. In the context of this mandate, a series of surveys were carried out in order to: (i) measure the Foundation's performance, and (ii) evaluate the impact of the support system implemented by the Foundation on its beneficiaries' performance and the quality/quantity of consulting activity in Senegal. The surveys included: (a) a small survey of 100 businesses beneficiary for a global evaluation of the program, (b) an in-depth survey of 30 businesses beneficiary to prepare a more detailed diagnostic of the impact of the Foundation's support, and (c) a survey of 15 businesses non-beneficiary.</p>
CIDA Burkina faso (2001) S PSD	<p>Evaluation of three entities supporting the private sector</p> <p>Project with the goal of carrying out an organisational and operational diagnosis of the main entities supporting the development of the private sector (Fondation Entreprendre, Project in Support of Small and Medium Sized Enterprises, and Office in Support of Micro Enterprises) with a view towards assessing their viability and complementarities. The project evaluated the effectiveness and results of the three entities and formulated recommendations with a view towards specialization and achieving greater synergy. In the course of this mandate, a survey involving some twenty enterprises was carried out.</p>
Minister of Foreign Trade, Industrialization, and Fishing of Ecuador (MICIP) Ecuador (2000-2001) S PSD	<p>Competitiveness study of the Fishing Sector</p> <p>Competitiveness study including: (i) diagnostic analysis of the sector ; (ii) FODA analysis ; (iii) characterizing the positioning of the sector in the national and international contexts ; (iv) evaluation of the industries and reinforcement of the restructuring process both at the level of production and at the level of management techniques applied to the production chain ; (v) identification of production possibilities ; (vi) analysis of the business climate of the sector ; (vii) benchmarking of the sector in comparison to Thailand and Chile ; (viii) implementation plan and recommendations for improving the competitiveness of the sector, including an agenda for change detailing the steps to follow and their associated costs. The sample size included 40 firms.</p>
Minister of Foreign Trade, Industrialization, and Fishing of Ecuador (MICIP) Ecuador (2000-2001) S PSD	<p>Competitiveness study of the Textile industry</p> <p>Competitiveness study including: (i) diagnostic analysis of the sector ; (ii) FODA analysis ; (iii) characterizing the positioning of the sector in the national and international contexts ; (iv) evaluation of the industries and reinforcement of the restructuring process both at the level of production and at the level of management techniques applied to the production chain ; (v) identification of production possibilities ; (vi) analysis of the business climate of the sector ; (vii) benchmarking of the sector in comparison to Columbia, the US, and Mexico ; (viii) implementation plan and recommendations for improving the competitiveness of the sector, including an agenda for change detailing the steps to follow and their associated costs. The sample size included 40 firms.</p>

## Survey Planning/ Implementation, Private Sector Development

CIDA Cameroon (2000) S PSD	Project in Support of Cameroon's SMEs  Project with the goal of encouraging the rebound of Cameroon's private sector, and especially of SME/SMIs, by providing management, training, and financial support services. The project required carrying out a qualitative survey of 28 beneficiaries to measure the effects of the project and assess the financial impact of privatizing the services offered by the project.
CIDA Cameroon (2000) S PSD	Micro-project for the productivity of women  Project with the goal of developing the economic activities of women by facilitating their access to financing. The review of this project was carried out through a survey of 30 beneficiary and non-beneficiary entrepreneurs, which sought to characterize their sectors of activity, the evolution of their revenues and expenses, the number and quality of the jobs created and the impact in terms of improving living conditions.
Canadian International Development Agency (CIDA) Caribbean (1999-2001) PSD	Evaluation of "Small Project Implementation Facility" program, The Caribbean  This evaluation of the performance of SPIF over the period from 1987 to 1999 was required to (i) evaluate the developmental context of the Caribbean, highlighting the particularities of insular economies, (ii) identify the relevant indicators (outputs and outcomes) and measure the developmental results of the project, (iii) identify the conditions of success, elements of risk, performance factors, and best practices in management of the project to extract lessons for the future, (iv) evaluate the effectiveness of CIDA's and the executing agency's management, and (v) advise CIDA regarding strategies to be adopted for the third phase of the project. A total of 80 projects were analyzed.
Canadian International Development Agency (CIDA) Jamaica (1999-2000) PSD	Evaluation of Private Sector Development Program  Carried out a review and analysis of CIDA's program in support of the Jamaican private sector. The program aimed to: (i) improve the capacity, competencies, and productivity of businesses; (ii) improve the investment climate; and (iii) encourage regional integration in the country. The study's mandate was to assess, for the period of 1988 to 1998, how well the support for Jamaica's private sector fit in with, on the one hand, CIDA's national and regional policies, and on the other hand, the Agency's overall private sector development support policy. The sample included 100 firms.
CIDA Cameroon (1999) S PSD	Sector analysis of the private sector  An analysis of Canada's program in support of Cameroon's private sector, with the goals of: (i) teaching the program managers about Cameroon's private sector, its context, performance, economic contribution, as well as its strengths and weaknesses; (ii) verifying whether the environment of the private sector had undergone significant change and, if so, what had been the impact on the Canadian cooperation projects; and (iii) determining what might be the most appropriate future methods and areas of intervention for Canadian cooperation. For the purposes of this mandate, a survey of some thirty enterprises was carried out to understand the program's impact on their financial performance.

## Survey Planning/ Implementation, Private Sector Development

CIDA	Evaluation of the Project for the Support and Promotion of Small Enterprises
Burkina faso	Mid-term evaluation of a project supporting the development of small enterprises in Burkina Faso. Measurement of the degree to which the project achieved results, and assessment of its impact on: (i) the performance of the enterprises (revenues, profits, jobs created, salaries paid, investments, exports, etc.), (ii) the strengthening of the management capacities of the enterprises. For the requirements of this
(1999)	mandate, a survey was carried out on a sample of 40 beneficiary enterprises of the project.
S	
PSD	
Federate States of Micronesia Development Bank	Fund for the development of microfinance institutions
Micronesia	This mandate required the implementation of a capital fund for the development of microfinance institutions, including the development of policies and procedures, the training of personnel, and the design and implementation of a system for results-based management of the involved networks, agencies, and individuals.
(1997)	
PSD	
CIDA	Analysis of incentive policies aimed at the promotion of the private sector
Cameroon	Analysis of incentive policies proposed for promoting the private sector. Critical examination of the main measures constituting the mechanism for attracting investment: the investment code, direct and indirect taxation, customs tariffs on imports and exports, rules of the free trade zone.
(1997)	
PSD	
CIDA	Senegal's informal sector: diagnosis, potentials, and planning options
Senegal	Analysis of the characteristics and potentials of Senegal's informal sector, including: (i) an analytic profile of informal businesses in rural and urban settings, (ii) a diagnosis of their legal and fiscal environment, and (iii) a review of formal and informal financial mechanisms and market conditions. The mandate relied on results from market surveys carried out through 60 various entrepreneurs.
(1996-97)	
PSD	

## Survey Planning/ Implementation, Private Sector Development

<p>Federate States of Micronesia Development Bank</p> <p>Micronesia</p> <p>(1995-1997)</p> <p>PSD</p>	<p>Institutional audit and Strengthening of the Federated States of Micronesia Development Bank (FSMDB)</p> <p>This mandate aimed at improving the management capacity of this development bank in order to better foster the development of the private sector of this Federation. Globally, the consulting services consisted in developing an analytical framework (“road map”) for the Bank providing a basis for monitoring and evaluating its own financial performance and the financial performance of the local private sector over the 1996-2005 period.</p> <p>After the organizational review of the Bank and the analysis of its operational results, the EEC’s experts had i) identified the relevant performance indicators at the Bank level and at the private sector level ii) conceived and implemented a Management by Objectives system by results at the corporate level, at the agencies level and at the staff level iii) developed a comprehensive training program in project financing and management iv) trained the staff located in Pohnpei, Kosrae, Chuuk and Yap states and v) developed "Business Start-up Kits" for FSMDB borrowers and to help them in the management of their businesses.</p> <p>Assistance was also provided to the Bank for the preparation of a ten-year corporate plan, a three-year operational plan and a one year budget plan.</p> <p>This mandate has contributed to enhance the Bank’s image in the community.</p>
<p>Office of Public Enterprises of Mali</p> <p>Mali</p> <p>(1995-1996)</p> <p>S</p>	<p>Study of the retraining of laid-off employees of public enterprises</p> <p>Study with goal of proposing to Mali’s government actions and measures to enable the economic and social reintegration of the laid-off workers of public enterprises. Completion of this mandate required carrying out 5 surveys of: 30 public enterprises, 15 modern enterprises, 30 informal sector businesses, 10 institutions and training centres, and 10 involved associations, as well as the organization of three discussion groups.</p>
<p>Ministry of economic planning</p> <p>cabo verde</p> <p>(1995)</p> <p>S</p>	<p>Organisational diagnostic of the National Institute of Statistics</p> <p>Institutional study targeted at the reform of the national statistics system and the creation of a National Institute of Statistics. Organisational design of a normative statistical system and definition of roles, responsibilities, and means of financing for the new institute. The project required mobilisation of a multi-disciplinary team: lawyers, statisticians, economists, and institutional development experts.</p>
<p>UNDP</p> <p>Angola</p> <p>(1994-1995)</p> <p>S</p> <p>PSD</p>	<p>National rehabilitation and reconciliation program</p> <p>Design and planning of a rehabilitation and reconciliation program for local populations, demobilised soldiers, and displaced populations. The mandate required the identification of productive local development projects offering the opportunity for private sector promotion.</p>

## Survey Planning/ Implementation, Private Sector Development

CIDA	Project for the Support of Small Enterprises in Ouagadougou
Burkina faso (1993 and 1995) S PSD	Mid-term and summative evaluations of the project, the goal of which was to contribute to economic development and the resumption of employment growth through support for the development of the private sector. Examination of the basis, the efficiency, the effectiveness, and the impact of the project. Two surveys of the beneficiaries (involving 40 businesses) were carried out in order to measure the impact of the project on their performance.
UNIDO	Analysis of production factor costs
Benin (1993) S	Study of the options for reducing the costs of production factors (water, telecommunications, maritime transport, petrol products, electricity, etc). Required carrying out a survey of the production cost structure of 19 main Beninese businesses.
UNIDO	Strategic Management of Industrial Development
Democratic republic of the congo (1992-1993) PSD	Study aimed at analysing the implementation conditions of the Strategic Management of Industrial Development (SMID) approach put forward by UNIDO. Carried out sector diagnostic studies and comparative analyses on the costs of production factors (water, fuel, electricity, telecommunications, etc.) Proposed measures to enhance the competitiveness of businesses.
UNIDO	Study on the cost of production factors
Senegal, Benin, Cameroon (1992-93) PSD	Study aimed at bringing to light the cost of common industrial services (fuel, electricity, telecommunications, water, transportation) of industrial enterprises with a view towards proposing streamlining measures. Comparative analysis of the cost of production factors in the main competing countries and formulation of recommendations aimed at improving the competitive position and the competitiveness of national enterprises.
UNIDO	Modernisation strategy for the private industrial sector
Benin (1992-93) PSD	Project aimed at identifying potential niche activities and at defining a strategy for promoting investment in key sectors. Elaboration of an action plan (training, services infrastructure, public support mechanisms, and financial intermediation) so that enterprises could re-launch their activities.
Asian Bank of Development	Six Universities Development and Rehabilitation Project
Indonesia (1992) PSD	Assessment of the development plans and industrial priorities in Java, Kalimantan, Sulawesi and Sumatra, their labour market and the projected demand and supply of professional and research-oriented manpower in the national context. The educational priorities were reviewed in the fields of industry, health, agriculture and economic, legal and accounting services.

## Survey Planning/ Implementation, Private Sector Development

CIDA Mali (1992) S PSD	Evaluation of the project in support of small and medium-sized enterprises in Mali  Mid-term evaluation of a project with the goal of fostering the creation and development of small enterprises through the provision of consulting support and financial services. A small survey of 15 beneficiary enterprises was carried out to measure the effects and the impacts of the project in terms of the creation and growth of businesses and in terms of job creation.
CIDA Rwanda (1992) S PSD	Project in support of small enterprises  Final evaluation of a project with the goal of auto-development of job-creating businesses. A small quantitative and qualitative survey of 10 entrepreneurs was carried out in order to measure the outcomes of the project.
CIDA Mali (1991-92) S PSD	Mali's industrial sector: reaction to adjustment  Study with the goals of evaluating the reaction of industrial companies of different sizes to the structural adjustment measures implemented since 1980, and evaluating whether the modifications realised in the economic environment were favourable to investment growth. This mandate required the execution of a battery of surveys of businesses of varying sizes (very small, small and medium, and large enterprises), as well as training 6 national surveyors and organising the logistics of the surveys. The surveys included 100 businesses from the agri-food, textile/clothing, lumber/furniture, construction materials and metal products sectors.
UNIDO Democratic Republic of the Congo (1991) S	Constraint and streamlining potential of the cost of production factors for the industrial sector  Study with the goal of analysing the issue of the cost of production factors (petrol products, electricity, water, telecommunications, transport, labour, taxation, etc.), examining their relative importance in different industrial sectors, and identifying the constraints and possibilities with respect to reducing them. A survey of several businesses was carried out in order to build a database on production costs and run impact simulations. The sample included 20 businesses from the agri-food, mining, lumber and textiles industries.
UNIDO Sub-Saharan Africa (1991-1992) PSD	Structural Adjustment Programs : Impact on small and medium-sized enterprises  Study analysing the impact of the measures intended to bolster supply in the context of the structural adjustment programs. The report reviewed the effect of devaluation, deregulation of pricing, liberalisation of distribution channels, legal and regulatory reform, and public and financial sector reform, on the performance of small and medium sized enterprises and on the renewal of investment.

## Survey Planning/ Implementation, Private Sector Development

UNIDO	Entrepreneurship in Guinea : potentials in the industrial sector
Guinea (1990-91) PSD	Study aimed at identifying the socio-economic characteristics of entrepreneurship in Guinea and the expected behaviour of entrepreneurs with respect to the development of the private sector. Proposal of incentive measures to favour the emergence of a new class of entrepreneurs.
UNIDO	Management of the “Plan Directeur d’Industrialisation (PDI)”
Cameroon (1990-1991) PSD	Implementation and management of the PDI. In the context of this mandate, EEC Canada’s experts: (i) carried out diagnostic sector studies of the ten most important sectors of industrial activity (coffee, cocoa, industrial fishing, oil seeds, textile/clothing, etc.), (ii) developed, implemented, and monitored strategies and policies in support of the development of these sectors, and (iii) piloted the implementation of an industrial information system.
Asian Development Bank	Loan Guarantee Fund Opportunity study
Pakistan (1988) PSD	<p>This study has identified the constraints that Pakistani SMEs face to obtain financing (credit and guarantee funds).</p> <p>A report has been submitted to the Asian Development Bank containing recommendations to improve the deficiencies of the current financing system across the country.</p> <p>This study has identified the financing constraints (credit and warranty fund) faced by the SME’s in Pakistan. The recommendations aimed at remedy for gaps of the financing system in the country.</p>
Private Client	Review of loan guarantee funds in Asia
India, Indonesia, Korea, Malaysia, Nepal, Thailand, Sri Lanka, The Philippines, Pakistan (1988) S PSD	Review of the main operating parameters of loan guarantee funds in nine countries in Asia, in order to achieve a fuller comprehension of their interaction, and to identify the key success factors of these mechanisms in the developing countries of Asia. Among the basic characteristics reviewed were data relating to the eligibility requirements of the various funds (type of loan eligible, sector eligible, size of firm eligible), the origin of the capital, the proportion of risk covered by the guarantee, etc. A survey of 50 financial institutions involved with the funds was carried out.

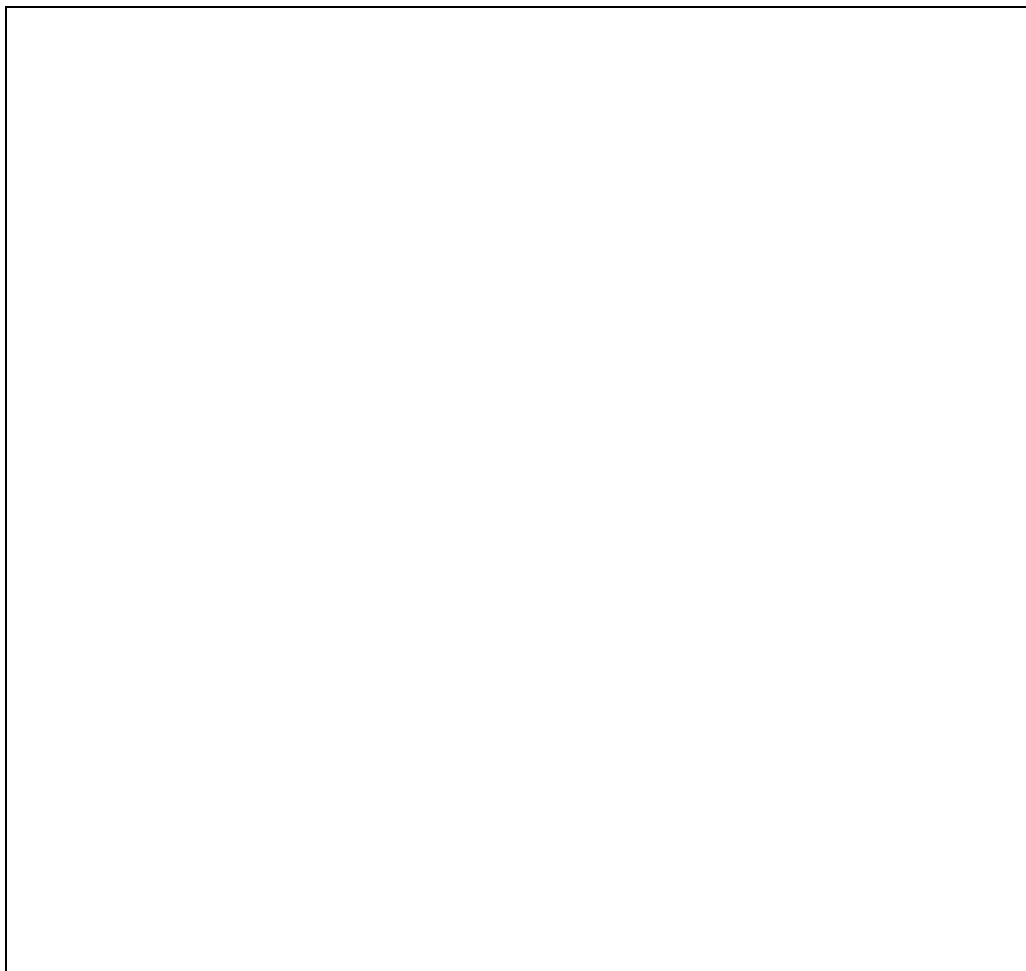
## Survey Planning/ Implementation, Private Sector Development

Asian Development Bank / DTCD  Pakistan  (1988-1990)  PSD	<p>Small-Scale Industry Project: Support to SMEs' Development</p> <p>Small Industry Divisions of Sind, Punjab, Balushistan and NWFP</p> <p>The project consisted in first studying small scale industry in Pakistan (all sectors and regions), then designing a project to support the financing of micro-informal enterprises in under-developed regions of Pakistan as well as small-scale firms in urban centres. During the third stage, the delivery of equity financing as well as credit to targeted beneficiaries, using alternative models for credit delivery in many instances (group guarantees, external partial guarantees, incremental lending, customer order financing), was implemented through the Regional Development Finance Corporation (RDFC) and the Industrial Development Bank of Pakistan (WBP). EEC's team monitored and supported, through technical assistance, the entire project in all its components: conception of new and original financial instruments, training of SIDs staff members, provision of consultancy services to individual small-scale industries in various regions of Pakistan, and on-going monitoring of project during various stages.</p>
World Bank  Ivory Coast  (1988)  S	<p>Energy sector loan</p> <p>Study carried out in the context of implementation of an energy sector loan. A survey was carried out in order to: (i) measure the impact of hydro-carbon pricing policy on the profitability of the country's businesses, and (ii) quantify the impact of a drop in the price of a few petroleum products such as heavy fuel, light fuel, and natural gas. The sample included 20 businesses of the agri-food, forestry, textile and chemical sectors.</p>
World Bank  Cameroon,  Guinea, Guinea-Bissau, Senegal, Somalia  (1987-1989 )  PSD	<p>Social dimensions of the structural adjustment</p> <p>Elaboration of the poverty profile and identification of key groups with a view towards targeted interventions. In the context of this mandate, EEC Canada's team compiled, processed, and analysed data of a household expenditure surveys in order to identify the populations' most vulnerable groups. Issues examined included revenue structure, spending, employment situation and the definition of the poverty threshold in the capital.</p> <p>The project conceived also alternative financing instruments (equity and quasi-equity) as well as appropriate institutional solutions to channel funds to vulnerable target groups for productive projects in developing countries.</p>
UNIDO  Guinea  (1986-87)  S  PSD	<p>Analysis of production costs in the industrial sector</p> <p>Study aimed at highlighting the cost of common industrial services in order to identify selective interventions to reduce the costs and improve the competitiveness of Guinean businesses on regional markets. Carried out a survey of 30 businesses in order to systematise the available information on cost structures and build a database from which to run simulations.</p>

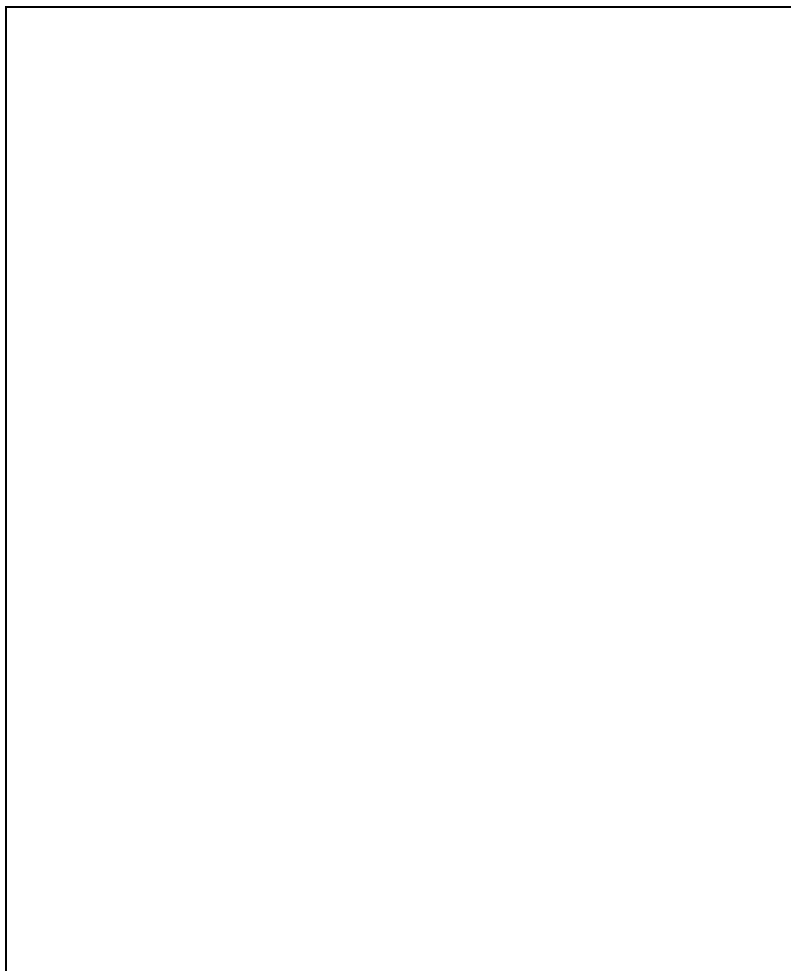
Survey Planning/ Implementation, Private Sector Development

Minister of Human Resources, Industry, and SMEs  Guinea  (1986-87)  S  PSD	<p>The informal sector in Guinea : characteristics and possibilities</p> <p>Analysis of the informal economy in Guinea with a view towards: (i) defining social, financial, and economic profiles, (ii) identifying the nature and the potential of this sector and its interaction with other sectors of the economy, (iii) identifying the obstacles and constraints to its development. This analysis was based on an original survey conducted with 260 businesses operating in 26 sectors of activity.</p>
Minister of Industrial Development – World Bank financing  Guinea  (1986)  S  PSD	<p>Project in rehabilitation and industrial promotion</p> <p>Carried out an industrial census in Guinea with 1 240 businesses. In the context of this operation, EEC Canada's experts participated in: (i) the training in matters of industrial statistics of a national survey team, (ii) the planning and conduct of the industrial census of state-run and private enterprises, and (iii) the planning and execution of a poll of the informal private sector.</p>

#### **Appendix 4. Training Agenda**



### **Appendix 5. Supervision Form – Interviewer Evaluation**

A large, empty rectangular box with a thin black border, intended for the interviewer's evaluation. It occupies the central portion of the page below the title.



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

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

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

**INDIVIDUAL MODULES BEGUN BUT NOT COMPLETED.**

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

**GENERAL BOOKLET (MODULE 9) NOT BEGUN**

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

**GENERAL BOOKLET (MODULE 9)**

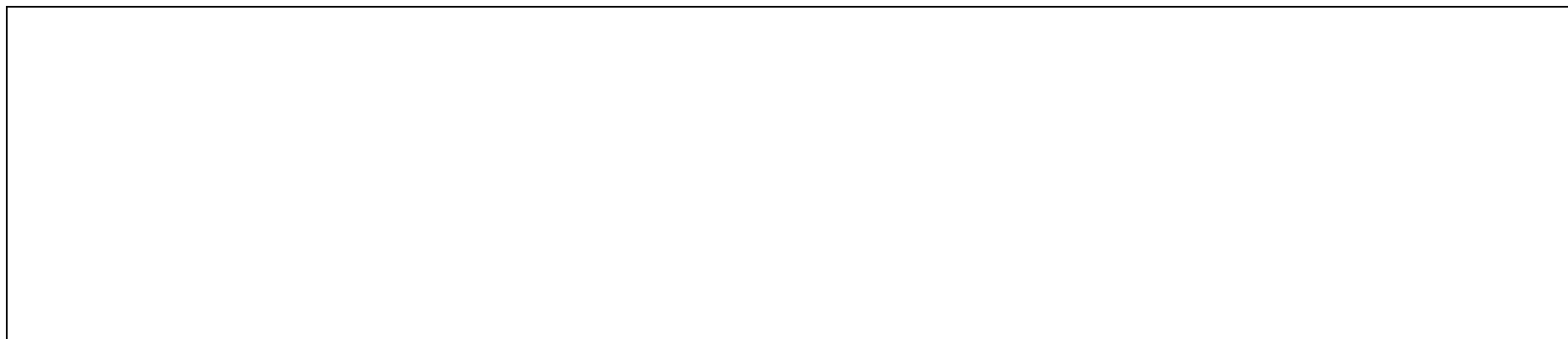
71	Individual looked through the Booklet but <u>unable to read and write the language of the Booklet so did not begin</u> .	n		N
72	Individual began General Booklet but <u>refused to continue</u>	Y	N	N
73	Individual <u>had too long an interruption</u> in the General Booklet, so it could not be resumed.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

**Appendix 7. Supervision Form – Visual Scrutiny**

**Appendix 8. Supervision Form – Check-Up Visit**

### **Appendix 9. Weekly Report Template (Full Literacy Assessment)**

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



## Appendix 10. Result Codes

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

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

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

## Appendix 11. Sample

Kenya 2009 Census Core Urban Household by County			
County Code	County Name	Households	Stratum
101	NAIROBI	984,825	1
205	KIAMBU	276,496	2
301	MOMBASA	265,123	2
710	NAKURU	181,456	2
712	KAJIADO	83,951	3
706	UASIN	81,861	3
602	KISUMU	79,616	3
303	KILIFI	65,277	3
407	MACHAKOS	61,543	3
202	NYERI	35,370	4
801	KAKAMEGA	34,673	4
803	BUNGOMA	31,936	4
603	MIGORI	29,068	4
403	MERU	28,941	4
704	TRANS	27,794	4
302	KWALE	24,100	4
501	GARISSA	23,703	4
605	KISII	23,448	4
709	LAIKIPIA	22,247	4
203	KIRINYAGA	19,879	4
701	TURKANA	18,114	4
204	MURANG'A	17,889	4
601	SIAYA	17,637	4
804	BUSIA	17,257	4
713	KERICHO	16,707	4
711	NAROK	16,446	4
604	HOMABAY	16,415	4
503	MANDERA	16,263	4
201	NYANDARUA	14,710	4
705	BARINGO	14,622	4
405	EMBU	14,055	4
402	ISIOLO	13,986	4
408	MAKUENI	13,454	4
406	KITUI	12,843	4
306	TAITA	12,673	4
401	MARSABIT	10,501	4
802	VIHIGA	10,314	4
708	NANDI	9,580	4
703	SAMBURU	6,713	4
304	TANA	6,279	4
606	NYAMIRA	6,263	4
404	THARAKA	5,423	4
714	BOMET	5,411	4
702	WEST	5,209	4
707	ELGEYO-MAR	4,414	4
502	WAJIR	4,314	4
305	LAMU	3,579	4
Grand Total		2,692,378	

1<sup>st</sup> stratum: Nairobi

SRN	STEP# Stratum	COUNTY# CODE	COUNTY	DISTRICT	DIVISION	LOCATION	SUBLOCATION	EACODE	EANAME	Households
1	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	KAWANGWARE	GATINA	0101010101076	GATINA	117
2	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	KAWANGWARE	KAWANGWARE	0101010102069	KANUNGAGA	109
3	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	KAWANGWARE	KAWANGWARE	0101010102204	CIUGUNI	92
4	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	MUTUINI	MUTUINI	0101010302011	MANYATTA	58
5	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	RIRUTA	RIRUTA	0101010402030	NYAKINYUA	99
6	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	RIRUTA	RIRUTA	0101010402175	SWAMP	87
7	1	101	NAIROBI	NAIROBIWEST	DAGORETTI	WAITHAKA	KABIRIA	0101010601019	KABIRIA	58
8	1	101	NAIROBI	NAIROBIWEST	KIBERA	KIBERA	KIBERA	0101020201031	KAMBIENDU	143
9	1	101	NAIROBI	NAIROBIWEST	KIBERA	KIBERA	MAKINA	0101020203034	KWAMAKAU	106
10	1	101	NAIROBI	NAIROBIWEST	KIBERA	LAINISABA	LAINISABA	0101020301037	BIASHARA	111
11	1	101	NAIROBI	NAIROBIWEST	KIBERA	LAINISABA	SOWETO/HIGHRISE	0101020302084	ZONEA	105
12	1	101	NAIROBI	NAIROBIWEST	KIBERA	MUGUMOINI	MUGUMOINI	0101020502040	HOUSING/FINANCE/HILL	93
13	1	101	NAIROBI	NAIROBIWEST	KIBERA	NAIROBIWEST	SOUTH	0101020602012	KYANGOMBE	134
14	1	101	NAIROBI	NAIROBIWEST	KIBERA	SERANGOMBE	GATWIKIRA	0101020701022	CENTRAL	109
15	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	DANDORA	DANDORA	0102010101019	WAMWARES	70
16	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	DANDORA	DANDORA	0102010101204	JUNCTION	65
17	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	DANDORA	DANDORA	0102010102113	DANDORA/PHASE/INDUSTRIAL/2/PLIN	89
18	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	DANDORA	DANDORA	0102010102282	DANDORA/PHASE/INDUSTRIAL/4	80
19	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	EMBAKASI	EMBAKASI	0102010201140	EMBAKASI/VILLAGE	107
20	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	KARIOBANGI/SOUTH	KARIOBANGI/SOUTH	0102010301015	LIGHT/INDUSTRY/C	108
21	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	KARIOBANGI/SOUTH	MOWLEM	0102010302071	KCC	78
22	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	KAYOLE	KAYOLE	0102010401140	B1/TUSHAURIANE	109
23	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	KAYOLE	KAYOLE	0102010401286	C3/MARIA	78
24	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	KAYOLE	KAYOLE	0102010401441	D5/KIOI	102
25	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MUKURU/KWAINJENGA	IMARA/DAIMA	0102010501045	FEED/CHILDREN	121
26	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MUKURU/KWAINJENGA	IMARA/DAIMA	0102010501187	RIARA/A	103
27	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MUKURU/KWAINJENGA	MUKURU/KWAINJENGA	0102010502063	WAPE/WAPE	75
28	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MUKURU/KWAINJENGA	MUKURU/KWAINJENGA	0102010502206	LUCKY/SUMMER/C	100
29	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MUKURU/KWAINJENGA	MUKURU/KWAINJENGA	0102010502345	TRANSAMIR	80
30	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	NJIRU	NJIRU	0102010601025	MATOPENI	101
31	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	RUAI	NGUNDU	0102010701021	KAMULU/CENTRE	146
32	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	UMOJA	UMOJA	0102010801086	UMOJA/ALTEX	44
33	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	UMOJA	UMOJA	0102010801259	INNERCORE/EAST	95
34	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	UMOJA	SAVANNA	0102010802078	CENTRAL/SOWETO	102
35	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	UMOJA	SAVANNA	0102010802232	DONHOLM/GREENFIELD	75
36	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MAKADARA	MAKONGENI	0102020201001	UPPER/GOROFANI	124
37	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MAKADARA	MUKURU/NYAYO	0102020401008	RIVER-BANK	158
38	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MAKADARA	MUKURU/NYAYO	0102020402095	ASIAN/QUARTERS	104
39	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MAKADARA	VIWANDANI	0102020502033	UNIBEAT	100
40	1	101	NAIROBI	NAIROBIWEST	EMBAKASI	MAKADARA	VIWANDANI	0102020502195	TETRAPAK	97
41	1	101	NAIROBI	NAIROBIWEST	CENTRAL	HURUMA	HURUMA	0103010101146	NGE/INDUSTRIAL	90
42	1	101	NAIROBI	NAIROBIWEST	CENTRAL	HURUMA	KIAMA/IKO	0103010102056	INDUSTRIAL	95
43	1	101	NAIROBI	NAIROBIWEST	CENTRAL	KARIOKOR	PANGANI	0103010301020	PANGANI/BLOCK/INDUSTRIAL	102
44	1	101	NAIROBI	NAIROBIWEST	CENTRAL	MATHARE	MABATINI	0103010401043	NO/INDUSTRIAL	92
45	1	101	NAIROBI	NAIROBIWEST	CENTRAL	MATHARE	MLANGO/KUBWA	0103010403027	KALAMBI	101
46	1	101	NAIROBI	NAIROBIWEST	KASARANI	GITHURAI	GITHURAI	0103020101003	KIANGICHIRI/A	115
47	1	101	NAIROBI	NAIROBIWEST	KASARANI	GITHURAI	GITHURAI	0103020101166	MUTHAIGA/INDUSTRIAL	89
48	1	101	NAIROBI	NAIROBIWEST	KASARANI	KAHAWA	KAHAWA/WEST	0103020201005	RURIE/A	69
49	1	101	NAIROBI	NAIROBIWEST	KASARANI	KARIOBANGI	KARIOBANGI/NORTH	0103020301002	N.C/MIRANGO	91
50	1	101	NAIROBI	NAIROBIWEST	KASARANI	KASARANI	MWIKI	0103020401025	RED/INDUSTRIAL	93
51	1	101	NAIROBI	NAIROBIWEST	KASARANI	KASARANI	KASARANI	0103020402049	LOWER/SPORTS/VIEW	103
52	1	101	NAIROBI	NAIROBIWEST	KASARANI	KOROGOCHO	GITATHURU	0103020501023	GITATHURU/CENTRAL/INDUSTRIAL	131
53	1	101	NAIROBI	NAIROBIWEST	KASARANI	ROYSAMBU	GARDEN	0103020601031	UPPER/INDUSTRIAL	118
54	1	101	NAIROBI	NAIROBIWEST	KASARANI	RUARAKA	RUARAKA	0103020701032	BABA/INDUSTRIAL	141
55	1	101	NAIROBI	NAIROBIWEST	KASARANI	RUARAKA	RUARAKA	0103020701181	RIVERSIDE/NEW	115
56	1	101	NAIROBI	NAIROBIWEST	KASARANI	RUARAKA	MATHARE/NORTH	0103020703077	MATHARE/NORTH/MARKET	150
57	1	101	NAIROBI	NAIROBIWEST	KASARANI	RUARAKA	UTALII	0103020704047	AREA/INDUSTRIAL	120
58	1	101	NAIROBI	NAIROBIWEST	PUMWANI	BAHATI	UHURU	0103030102061	BURUBURU/INDUSTRIAL	87
59	1	101	NAIROBI	NAIROBIWEST	PUMWANI	EASTLEIGH/NORTH	EASTLEIGH/NORTH	0103030202034	MAMA/ATUMA	125
60	1	101	NAIROBI	NAIROBIWEST	PUMWANI	EASTLEIGH/SOUTH	EASTLEIGH/SOUTH	0103030302021	KWAI/CHIEF	163
61	1	101	NAIROBI	NAIROBIWEST	PUMWANI	EASTLEIGH/SOUTH	EASTLEIGH/SOUTH	0103030302166	KOSOVO/C	68
62	1	101	NAIROBI	NAIROBIWEST	PUMWANI	PUMWANI	MAJENGO	0103030503008	SOPHIA	98
63	1	101	NAIROBI	WESTLANDS	HIGHRIDGE	KARURA	KARURA	0104010102029	MATOPENI	169
64	1	101	NAIROBI	WESTLANDS	WESTLANDS	KANGEMI	KANGEMI	0104010202024	MURATHA	88
65	1	101	NAIROBI	WESTLANDS	WESTLANDS	KANGEMI	MOUNTAIN/VIEW	0104010203019	GATHONDEKI	80
66	1	101	NAIROBI	WESTLANDS	WESTLANDS	KILIMANI	KILIMANI	0104010401045	LENANA	108
67	1	101	NAIROBI	WESTLANDS	WESTLANDS	KITISURU	LORESHO	0104010503031	KAPTAGATI/VILLAGE	107

**2<sup>nd</sup> stratum: Large cities (over 100,000 households)**

SRN	STEP Stratum	COUNTY	COUNTY CODE	DISTRICT	DIVISION	LOCATION	SUBLOCATION	EACODE	EANAME	Households
68	2	205	KIambu	KIambu	KIAMBAA	CIANDA	KAWAIDA	0208010102010	KAWAIDA/MILIMANI	131
69	2	205	KIambu	KIambu	KIAMBAA	KIHARA	KIHARA	0208010203015	GICHAGI/B	114
70	2	205	KIambu	KIambu	KIAMBAA	MUCHATHA	MUCHATHA	0208010303041	DISPENSARY	66
71	2	205	KIambu	KIambu	KIAMBAA	WAGUTHU	GATHANGA	0208010501026	GATHANGA/CENTRAL	79
72	2	205	KIambu	KIambu	MUNICIPALITY	KIAMBAA	THINDIGUA	0208020203032	MUIRUTHI	78
73	2	205	KIambu	KIambu	MUNICIPALITY	RIABAI	RIABAI	0208020402030	THATHINI/SOUTH	105
74	2	205	KIambu	KIKUYU	KIKUYU	KIKUYU	KIKUYU/TOWNSHIP	0209010204004	MAGOKO	82
75	2	205	KIambu	KIKUYU	KIKUYU	KINOO	KINOO	0209010303019	GAITUMBE/CEMETRY	106
76	2	205	KIambu	KIKUYU	KIKUYU	KINOO	UTHIRU	0209010304049	GITIRE/B	63
77	2	205	KIambu	KIKUYU	KABETE	MUGUGA	GITARU	0209020103040	MUTEGOE	97
78	2	205	KIambu	KIKUYU	KABETE	KABETE	RUKU	0209020302024	MUTHUMU/B	92
79	2	205	KIambu	LIMURU	LIMURU	LIMURU	BIBIRIONI	0210020101005	MBURU/MARENGA/B	249
80	2	205	KIambu	LIMURU	LIMURU	KARAMBAINI	MABROUKE	0210020201012	MISIRI	120
81	2	205	KIambu	GITHUNGURI	GITHUNGURI	GITHUNGURI	GITHUNGURI	0212020101037	GITHUNGURI/A	96
82	2	205	KIambu	THIKA/WEST	JUJA	MILIMAINI	MILIMAINI	0214010102040	KANINI/SHALOM/ESTATE	128
83	2	205	KIambu	THIKA/WEST	THIKA/WEST	BIASHARA	MAJENGO	0214020102046	BIDCO	126
84	2	205	KIambu	THIKA/WEST	THIKA/WEST	MAKONGENI	KAMENU	0214020201036	MAKONGENI/PHASE/B	117
85	2	205	KIambu	THIKA/WEST	THIKA/WEST	MAKONGENI	KIANJAU	0214020202024	KIANDUTU/LOCK/B	118
86	2	205	KIambu	THIKA/WEST	THIKA/WEST	MAKONGENI	KOMU	0214020203062	KWARE/B	137
87	2	205	KIambu	RUIRU	GITHURAI	GITHURAI	KIUU	0215010201005	TINGANGA/A	109
88	2	205	KIambu	RUIRU	GITHURAI	GITHURAI	KIUU	0215010201114	LANGATA/PHASE/B	141
89	2	205	KIambu	RUIRU	GITHURAI	GITHURAI	MWIKI	0215010203043	MWANAMKIA/B	72
90	2	205	KIambu	RUIRU	GITHURAI	GITHURAI	MWIKI	0215010203147	NGARA	74
91	2	205	KIambu	RUIRU	GITHURAI	THETA	THETA	0215010401025	RELI	79
92	2	205	KIambu	RUIRU	RUIRU	RUIRU	GITOTHUA	0215020201021	GITHUNGURI/WEST	116
93	2	205	KIambu	RUIRU	RUIRU	RUIRU	RUIRU	0215020203085	MATOPENI/B	130
94	2	301	MOMBASA	MOMBASA	BAMBURI	BAMBURI	MWEMBE/LEGEZA	0301010104003	MWEMBE/LEGEZA/B	61
95	2	301	MOMBASA	MOMBASA	ISLAND	GANJONI	GANJONI	0301020101006	POSTA/NDOGO	92
96	2	301	MOMBASA	MOMBASA	ISLAND	MAJENGO	MAJENGO	0301020201083	RIDHWANI	66
97	2	301	MOMBASA	MOMBASA	ISLAND	TONONOKA	TONONOKA	0301020602023	MACHURA	184
98	2	301	MOMBASA	MOMBASA	ISLAND	TUDOR	TUDOR	0301020702057	JUAKALI/B	102
99	2	301	MOMBASA	MOMBASA	KISAUNI	KISAUNI	JUNDA	0301030101105	KILALAPWA	124
100	2	301	MOMBASA	MOMBASA	KISAUNI	KISAUNI	KISAUNI	0301030102103	MLALEO	62
101	2	301	MOMBASA	MOMBASA	KISAUNI	KISAUNI	KISAUNI	0301030102225	MBUNGONI/A	109
102	2	301	MOMBASA	MOMBASA	KISAUNI	KISAUNI	MAGOGONI	0301030103108	MWANDONI/KISHADA	92
103	2	301	MOMBASA	MOMBASA	KISAUNI	KISAUNI	MAGOGONI	0301030103250	TUA/TUGAWEE/C	61
104	2	301	MOMBASA	MOMBASA	KISAUNI	KONGOWEA	KONGOWEA	0301030201062	HARAMBEE/EAST	111
105	2	301	MOMBASA	MOMBASA	KISAUNI	KONGOWEA	KONGOWEA	0301030201189	BADIRIA/A	114
106	2	301	MOMBASA	MOMBASA	KISAUNI	KONGOWEA	MAWENI	0301030202102	MUKUNGUNI	146
107	2	301	MOMBASA	KILINDINI	CHANGAMWE	CHAANI	CHAANI	0302010101073	MCHELENI	98
108	2	301	MOMBASA	KILINDINI	CHANGAMWE	CHAANI	CHAANI	0302010101195	KALAHARI/KIBARANI	66
109	2	301	MOMBASA	KILINDINI	CHANGAMWE	PORT/REITZ	PORT/REITZ	0302010301067	FLAMINGO	95
110	2	301	MOMBASA	KILINDINI	CHANGAMWE	PORT/REITZ	PORT/REITZ	0302010301184	MWONGOZI/B	93
111	2	301	MOMBASA	KILINDINI	JOMVU	MIRITINI	MIRITINI	0302020101095	MAGANDA/B	91
112	2	301	MOMBASA	KILINDINI	JOMVU	MIKINDANI	KWAI/SHHEE	0302020201008	KWAI/MATEI	73
113	2	301	MOMBASA	KILINDINI	JOMVU	MIKINDANI	BIRIKANI	0302020202010	BANGLADESHI/(MUKABUDINI)	90
114	2	301	MOMBASA	KILINDINI	LONGO	MTONGWE	MTONGWE	0302030101068	BWAGA/MYOYO	566
115	2	301	MOMBASA	KILINDINI	LIKONI	LIKONI	BOFU	0302040101023	MBONGO/PHANI	75
116	2	301	MOMBASA	KILINDINI	LIKONI	LIKONI	LIKONI	0302040102042	MIAMI	79
117	2	301	MOMBASA	KILINDINI	LIKONI	LIKONI	TIMBWANI	0302040103079	MAWENI/B	109
118	2	301	MOMBASA	KILINDINI	LIKONI	LIKONI	TIMBWANI	0302040103192	MAJENGO/MAPYA/BKL2	110
119	2	710	NAKURU	NAKURU	MUNICIPALITY	KAPTEMBWO	KAPTEMBWO	0730010101111	KIPANGAWAY	79
120	2	710	NAKURU	NAKURU	MUNICIPALITY	KAPTEMBWO	KAPTEMBWO	0730010101236	NAKURU/WEST	136
121	2	710	NAKURU	NAKURU	MUNICIPALITY	KAPTEMBWO	MWARIKI/A	0730010103031	JERUSALEM	59
122	2	710	NAKURU	NAKURU	MUNICIPALITY	BONDENI	AFRAHA	0730010202005	SHAH	86
123	2	710	NAKURU	NAKURU	MUNICIPALITY	BONDENI	MILIMANI	0730010204001	MARKET	38
124	2	710	NAKURU	NAKURU	MUNICIPALITY	BONDENI	LANGALANGA	0730010205099	ELDOROT	88
125	2	710	NAKURU	NAKURU	LANET	FREE-AREA	FREE-AREA	0730040201040	MUROGI/B	105
126	2	710	NAKURU	NAKURU	LANET	FREE-AREA	MENENGAI	0730040203073	MOUNTAIN/VIEW	65
127	2	710	NAKURU	NAKURU/NORTH	BAHATI	KIAMAINA	RURII	0731010302018	LOWER/HESHIMA	242
128	2	710	NAKURU	NAKURU/NORTH	DUNDORI	LANET/UMOJA	MURUNYU	0731030202049	UMOJA/B	76
129	2	710	NAKURU	NAIVASHA	NAIVASHA	NAIVASHA/TOWN	SOKONI	0732020101052	MUNICIPAL	134
130	2	710	NAKURU	NAIVASHA	NAIVASHA	LAKE/VIEW	LAKE/VIEW	0732020201012	KIHOTO/A	94
131	2	710	NAKURU	NAIVASHA	NAIVASHA	HELLS/GATE	MIRERA	0732020301083	OLD/TOWN	108
132	2	710	NAKURU	NAIVASHA	GILGIL	GILGIL	GILGIL	0732040101070	G.B.1	83
133	2	710	NAKURU	MOLO	ELBURGON	ELBURGON	ELBURGON	0733010102076	KALOLENI	143
134	2	710	NAKURU	MOLO	MOLO	MOLO	MOLO	0733080102063	TAYARI/LOCK/PH	36

**3<sup>rd</sup> stratum: medium-sized cities (between 60,000 and 100,000 households)**

SRN	STEP Stratum	COUNTY CODE	COUNTY	DISTRICT	DIVISION	LOCATION	SUBLOCATION	EACODE	EANAME	Households
135	3	303	KILIFI	KILIFI	BAHARI	TOWNSHIP	HOSPITAL	0306010501049	KIWANDANI STRIP	342
136	3	303	KILIFI	KILIFI	BAHARI	TOWNSHIP	MNARANI	0306010504010	FERRY	79
137	3	303	KILIFI	KILIFI	KIKAMBALA	MTWAPA	SHIMOLEWA	0306020101049	MTWAPA MTANI	87
138	3	303	KILIFI	KILIFI	KIKAMBALA	MTWAPA	SHIMOLEWA	0306020101118	KWANGWA	144
139	3	303	KILIFI	KILIFI	KIKAMBALA	MTWAPA	KANAMAI	0306020103022	MAJENGO	122
140	3	303	KILIFI	KALOLENI	MARIAKANI	MARIAKANI	MARIAKANI/MITANGONI	0307030101014	MKWAJUNI	137
141	3	303	KILIFI	MALINDI	MALINDI	MALINDI TOWN	CENTRAL	0308010101015	MUTANGANI	84
142	3	303	KILIFI	MALINDI	MALINDI	MALINDI TOWN	BARANI	0308010103019	MAJENGO MAPYA	72
143	3	303	KILIFI	MALINDI	MALINDI	MALINDI TOWN	BARANI	0308010103096	UMOJA	60
144	3	303	KILIFI	MALINDI	MALINDI	MALINDI TOWN	SHELLA	0308010104062	MUYEYEW TOWN	67
145	3	303	KILIFI	MALINDI	MALINDI	MALINDI TOWN	SHELLA	0308010104134	BOMANI	62
146	3	303	KILIFI	MALINDI	MAGARINI	GONGONI	GONGONI	0308030303033	MAJENGO MAPYA	92
147	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	ATHIRIVER	ATHIRIVER TOWNSHIP	0421010102065	MAKADARA	115
148	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	ATHIRIVER	ATHIRIVER TOWNSHIP	0421010102124	NJOGUINI	103
149	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	ATHIRIVER	ATHIRIVER TOWNSHIP	0421010102185	SLOTA	92
150	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	KATANI	SYOKIMAU	0421010203024	SYOKIMAU	64
151	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	KATANI	SYOKIMAU	0421010203084	NGWATA ZONE C UPPER	130
152	3	407	MACHAKOS	MACHAKOS	ATHIRIVER	KATANI	SYOKIMAU	0421010203143	UPPER ZONE A	98
153	3	407	MACHAKOS	MACHAKOS	CENTRAL	MUMBUNI	UPPER KIANDANI	0421020503019	MANYATTA VILLAGE	88
154	3	407	MACHAKOS	MACHAKOS	CENTRAL	TOWNSHIP	MJINI	0421020602014	MJINIE STATE	33
155	3	407	MACHAKOS	MACHAKOS	CENTRAL	KIIMA KIMWE	MUTHINI	0421020701046	KALUOKI A	63
156	3	407	MACHAKOS	YATTA	YATTA	MATUU	MATUU	0423030201013	MASAKU A	82
157	3	407	MACHAKOS	KANGUNDO	MATUNGULU	TALA	SENGANI	0424030202010	VANGALA VILLAGE	59
158	3	602	KISUMU	KISUMU EAST	WINAM	TOWN	SOUTHERN	0604010102001	CIVIL SERVANTS	113
159	3	602	KISUMU	KISUMU EAST	WINAM	TOWN	BANDARI	0604010104011	MOSQUE STATE	76
160	3	602	KISUMU	KISUMU EAST	WINAM	KONDELE	MANYATTA A	0604010201050	KONDELE	110
161	3	602	KISUMU	KISUMU EAST	WINAM	KONDELE	MANYATTA A	0604010201108	GONDA	98
162	3	602	KISUMU	KISUMU EAST	WINAM	KONDELE	NYAWITA	0604010202038	KAMAKOWA	72
163	3	602	KISUMU	KISUMU EAST	WINAM	KONDELE	MIGOSI	0604010203043	UPPER MIGOSI	130
164	3	602	KISUMU	KISUMU EAST	WINAM	KOLWA WEST	NYALENDA B	0604010401019	WASIKO	120
165	3	602	KISUMU	KISUMU EAST	WINAM	KOLWA WEST	NYALENDA B	0604010401080	WADHARE	99
166	3	602	KISUMU	KISUMU EAST	WINAM	KOLWA WEST	NYALENDA A	0604010402042	WAMLANDA	66
167	3	602	KISUMU	KISUMU EAST	WINAM	KOLWA WEST	MANYATTA B	0604010403017	LOWER VILLAGE	106
168	3	602	KISUMU	KISUMU EAST	WINAM	KOLWA WEST	MANYATTA B	0604010403069	KWOYO VILLAGE	92
169	3	602	KISUMU	KISUMU EAST	WINAM	KISUMU EAST	KANYAKWAR	0604010804024	OBUNGA-CENTRAL	82
170	3	602	KISUMU	NYANDO	MUHORONI	CHEMELIL	CHEMELIL	0606020104002	CHUI	80
171	3	602	KISUMU	NYANDO	MUHORONI	GODNYITHINDO	OREGO	0606020601013	KONYANGO	71
172	3	706	UASINI GISHU	ELDORET WEST	SOY	MOI'S BRIDGE	MOI'S BRIDGE	0717010401062	BONDENI	128
173	3	706	UASINI GISHU	ELDORET WEST	SOY	KIBULGENY	KILIMANI	0717011001046	WEST MARKET	58
174	3	706	UASINI GISHU	ELDORET WEST	SOY	KIBULGENY	KAMUKUNJI	0717011002011	SUBARU	55
175	3	706	UASINI GISHU	ELDORET WEST	TURBO	KAPYEMIT	KAPSAOS	0717020101026	BARINGO A 1	150
176	3	706	UASINI GISHU	ELDORET WEST	TURBO	KAPYEMIT	HURUMA	0717020102007	M.VIPATEL	75
177	3	706	UASINI GISHU	ELDORET WEST	TURBO	KAPYEMIT	HURUMA	0717020102072	NYATHIRU	134
178	3	706	UASINI GISHU	ELDORET WEST	TURBO	KAMAGUT	LESERU	0717020201038	JUA KALI TOWN	118
179	3	706	UASINI GISHU	ELDORET EAST	AINABKOI	KAPSOYA	KAPSOYA	0718010901068	MUNYAKA A	72
180	3	706	UASINI GISHU	ELDORET EAST	MOIBEN	CHEPKOILEL	KIMUMU	0718020801033	HAWAIAI B	70
181	3	706	UASINI GISHU	ELDORET EAST	MOIBEN	CHEPKOILEL	SIGOT	0718020802059	MITHMOJA	80
182	3	706	UASINI GISHU	WARENG	KAPSERET	PIONEER	LANGAS	0719020301050	PIONEER B	117
183	3	706	UASINI GISHU	WARENG	KAPSERET	PIONEER	LANGAS	0719020301118	RACE COURSE B	271
184	3	706	UASINI GISHU	WARENG	KAPSERET	PIONEER	LANGAS	0719020301173	BLOCK B 2	101
185	3	706	UASINI GISHU	WARENG	KAPSERET	PIONEER	LANGAS	0719020301229	BLOCK B A B	63
186	3	712	KAJIADO	KAJIADO CENTRAL	CENTRAL	TOWNSHIP	HOSPITAL	0737011201007	URBAN	69
187	3	712	KAJIADO	KAJIADO CENTRAL	NAMANGA	BISSIL	BISSIL	0737030101005	UPPER TOWN	205
188	3	712	KAJIADO	LOITOKITOK	CENTRAL	LOOLOPON	LOOLOPON	0738010301049	TOWN CENTRE B	104
189	3	712	KAJIADO	KAJIADO NORTH	ISINYA	KITENGELA	OLOLOITIKOSHI	0744020201013	E.P. ZIA	115
190	3	712	KAJIADO	KAJIADO NORTH	ISINYA	KITENGELA	OLOLOITIKOSHI	0744020201072	NEWS ALLEY A 1	80
191	3	712	KAJIADO	KAJIADO NORTH	ISINYA	KITENGELA	KITENGELA	0744020202026	NOONKOPIR A	140
192	3	712	KAJIADO	KAJIADO NORTH	ISINYA	KITENGELA	KITENGELA	0744020202085	NOONKOPIR D	229
193	3	712	KAJIADO	KAJIADO NORTH	NGONG	NGONG	NGONG TOWNSHIP	0744040302002	SCHEME B 05 B	109
194	3	712	KAJIADO	KAJIADO NORTH	NGONG	NGONG	NGONG TOWNSHIP	0744040302071	SCHEME B 05 A	37
195	3	712	KAJIADO	KAJIADO NORTH	NGONG	NKAIMURUNYA	KWARE	0744040403020	SURVIVOR	92
196	3	712	KAJIADO	KAJIADO NORTH	NGONG	NKAIMURUNYA	MOSOI RANGE	0744040404001	MOSOI A	120
197	3	712	KAJIADO	KAJIADO NORTH	NGONG	NKAIMURUNYA	MOSOI RANGE	0744040404059	KISUMU INDOGO A	89
198	3	712	KAJIADO	KAJIADO NORTH	NGONG	OLOOLUA	BULBUL	0744040701039	TOWN A	55
199	3	712	KAJIADO	KAJIADO NORTH	NGONG	OLOOLUA	OLOOLUA	0744040704014	PASHA A	71
200	3	712	KAJIADO	KAJIADO NORTH	NGONG	ONGATA RONGAI	ONGATA RONGAI	0744040802055	HELLEN B 1	59
201	3	712	KAJIADO	KAJIADO NORTH	NGONG	ONGATA RONGAI	ONGATA RONGAI	0744040802120	FATIMA SOUTH A	64

4<sup>th</sup> stratum: Remaining core urban areas

SRN	STEP Stratum	COUNTY CODE	COUNTY	DISTRICT	DIVISION	LOCATION	SUBLOCATION	EACODE	EANAME	House holds	
202	4	201	NYANDARUA	NYANDARUA	OLKALOU	KAIMBAGA	GICHUNGO	0201030401003	SITE AND SERVICE	83	
203	4	202	NYERI	NYERI	KIENIEAST	THIGU	THUNGARI	0203010401017	CHAKA	95	
204	4	202	NYERI	NYERI	MATHIRA	KARATINA	MUTHUA/GIAKAIRU	0203030103012	GIAKAIRU	78	
205	4	202	NYERI	NYERI	SOUTH MUNICIPALITY	MUKARO	THUNGUMA	0204050114016	KANGEMI	133	
206	4	202	NYERI	NYERI	SOUTH MUNICIPALITY	MUKARO	MAJENGO	0204050115092	UPPER CHANIA (MOW)	111	
207	4	203	KIRINYAGA	KIRINYAGA	MWEA	TEBERE	KIARUKUNGU	0205010401034	KIINGATI	94	
208	4	203	KIRINYAGA	KIRINYAGA	KIRINYAGA EAST	KERUGOYA	KAGUYU	0205020401027	KERUGOYA TOWN	65	
209	4	204	MURANG'A	MURANG'A	KIHARU	TOWNSHIP	NJOGUINI	0206010101016	MURARE	187	
210	4	204	MURANG'A	MURANG'A	KIHARU	MATHIOYA	KAMACHARIA	0206040304018	KIRIA-INIE	60	
211	4	302	KWALE	KWALE	MATUGA	GOLINI	GOLINI	0303020101025	ADMINISTRATION	87	
212	4	302	KWALE	MSAMBWENI	DIANI	DIANI	UKUNDA	0305010103001	DIANI SCHEME	292	
213	4	302	KWALE	MSAMBWENI	DIANI	DIANI	UKUNDA	0305010103092	MAGUTU "B"	135	
214	4	304	TANA RIVER	TANA RIVER	MADOGO	MORORO	MORORO	0309040201006	MORORO CENTRE	120	
215	4	306	TAITA/TAVERET	TAITA	MWATATE	MWATATE	MWATATE	0312030101007	SOKOLAI/AMANI	54	
216	4	401	MARSABIT	MARSABIT	CENTRAL	MOUNTAIN	WABERA	0401010302004	NUNDO/ERO	62	
217	4	402	ISIOLO	ISIOLO	CENTRAL	CENTRAL	BULAPESA	0405010101023	MERILE	99	
218	4	402	ISIOLO	ISIOLO	MERTI	MERTI	MERTI TOWNSHIP	0405040301012	TOWN/SHAMBOLE/SHAU	60	
219	4	403	MERU	IMENTI	NORTH MIRIGA-MIERU	NTIMA	UPPER GOKI	0408040101031	KINORU	129	
220	4	403	MERU	IMENTI	NORTH MIRIGA-MIERU	IGOKI	GACHANKA	0408040301020	KIRINGA VILLAGE	126	
221	4	403	MERU	IGEMBE	IGEMBE CENTRAL	MAUA	KAIBU	0412040401016	MWETHE	110	
222	4	404	THARAKA	MAARA	MWIMBI	CHOGORIA	CHOGORIA	0411020103025	KITHIRU	95	
223	4	405	EMBU	EMBU	CENTRAL MUNICIPALITY	KAMIU	KAMIU	0415010102015	KIAMBUTHI	137	
224	4	406	KITUI	KITUI	CENTRAL	TOWNSHIP	TOWNSHIP	0417010501047	CARLUFORNIA	75	
225	4	406	KITUI	MWINGI	CENTRAL	MWINGI	KYANIKA	0419010107026	KARIOBANGI	104	
226	4	408	MAKUENI	KIBWEZI	MAKINDU	MAKINDU	MANYATA	0427020103030	KIUSAFARI	196	
227	4	501	GARISSA	GARISSA	CENTRAL	TOWNSHIP	TOWNSHIP	0501010101050	TOWN CENTRE	33	
228	4	501	GARISSA	GARISSA	CENTRAL	IFTIN	IFTIN	0501010201005	PROVINCE	45	
229	4	501	GARISSA	UJARA	MASALANI	MASALANI	MUHUMED DAHIR	0504040101001	GUDUD/DAHIR	141	
230	4	503	MANDERA	MANDERA	CENTRAL	ELWAK	ELWAK SOUTH	0509020201022	EL-HACHEM/A	98	
231	4	503	MANDERA	MANDERA	EAST	CENTRAL	TOWNSHIP	TOWNSHIP	0510070401010	LIGHT INDUSTRY	73
232	4	601	SIAYA	SIAYA	KAREMO	TOWNSHIP	KARAPUL	0601020103026	RAMBA/KALULU	75	
233	4	601	SIAYA	BONDO	USIGU	WEST/IMBO	USENGE	0602030502004	USALO	95	
234	4	603	MIGORI	MIGORI	SUBA/EAST	SUNABAGANA	MARINDI	0610010601004	COLLEGE	136	
235	4	603	MIGORI	MIGORI	KARUNGU	WEST/KARUNGU	SORI	0610050201017	SORI/UPPER	104	
236	4	603	MIGORI	RONGO	AWENDO	EAST/SAKWA	WAWARE	0611030504011	SARE	44	
237	4	604	HOMABAY	HOMABAY	ASEGO	HOMABAY TOWN	ARUJO	0607010301028	MISITA	53	
238	4	604	HOMABAY	SUBA	CENTRAL	KAKSINGRI	SINDO	0608050202019	SINDO/URBAN	129	
239	4	605	KISII	KISII	CENTRAL	KIOGORO	BOSONGO	0614020103017	UPPER MWEMBE	101	
240	4	605	KISII	KISII	CENTRAL	MOSCHO	TOWNSHIP	0614040701072	NYANKONGO	103	
241	4	605	KISII	GUCHA	SOUTH	NYAMARAMBE	SOUTH/MUGIRANGOCH	0618010302010	OGECHE/B/C	184	
242	4	701	TURKANA	TURKANA	CENTRAL	LODWAR	LODWAR TOWNSHIP	0701010101008	SOWETO/C	33	
243	4	701	TURKANA	TURKANA	NORTH	KAKUMA	KAKUMA	0702060101042	HOLY CROSS	37	
244	4	702	WEST POKOT	WEST POKOT	KAPENGURIA	KAPKORIS	CHEMWOCHOI	0704010501010	SEPULION	90	
245	4	704	TRANS NZOIA	TRANS NZOIA	WEST	KIBOMET	BIDII	0710010101002	AIRPORT	109	
246	4	704	TRANS NZOIA	TRANS NZOIA	WEST	CENTRAL	MATISI	0710010201020	MATISI CORNER	85	
247	4	704	TRANS NZOIA	TRANS NZOIA	WEST	CENTRAL	MUNICIPALITY	TUWAN	0710010304003	NYOTA	65
248	4	704	TRANS NZOIA	TRANS NZOIA	WEST	KIMININI	KIMININI	0710020102064	MAKUNDA	50	
249	4	705	BARINGO	KOIBATEK	ELDAMA	RAVINE	RAVINE	0716020701012	KAPTEMBO/S.M	117	
250	4	707	ELGEYO-MARAKWET	KEIYO	KAMARINY	IRONG	ITEN TOWNSHIP	0721020201032	KOISINGUR	115	
251	4	708	NANDI	NANDI	EAST	NANDI HILLS	NANDI HILLS	0724010101011	TOWN	81	
252	4	709	LAIKIPIA	LAIKIPIA	EAST	CENTRAL	NANYUKI	0728040302037	THINGITHU PHASE	112	
253	4	709	LAIKIPIA	LAIKIPIA	WEST	NYAHURURU	NYAHURURU	0729010201047	SITE PHASE 1	62	
254	4	711	NAROK	NAROK	NORTH	CENTRAL	LOWER MELILI	NAROK TOWN	0734010101084	MASIKONDE	61
255	4	711	NAROK	TRANS MARA	KILGORIS	OLOLCHANI	LEPOLOSI	0736010802014	MAJENGO	87	
256	4	713	KERICHO	KERICHO	AINAMOI	TOWNSHIP	TOWNSHIP	0739031103001	MJINI	54	
257	4	713	KERICHO	KIPKELION	LONDIAN	LONDIAN	TEGUNOT	0740040502011	CHIEFS/LANE	51	
258	4	801	KAKAMEGA	KAKAMEGA	CENTRAL	MUNICIPALITY	SHIEWE	0801030101022	JUA/KALI	64	
259	4	801	KAKAMEGA	KAKAMEGA	CENTRAL	MUNICIPALITY	SHIEWE	0801030102089	SHICHILAYI	149	
260	4	801	KAKAMEGA	KAKAMEGA	EAST	SHINYALU	KHAYEGA	0804010302006	MAKHAYA	117	
261	4	801	KAKAMEGA	MUMIAS	MUMIAS	NABONGO	MUMIAS TOWN	0809030104015	SHIBALE	95	
262	4	802	VIHIGA	VIHIGA	CHAVAKALI	IZAVA	SOUTH	MUKINGI	0806010303004	LODENYO	43
263	4	803	BUNGOMA	BUNGOMA	SOUTH	KANDUYI	TOWNSHIP	0811010101013	NAMILAMA	71	
264	4	803	BUNGOMA	BUNGOMA	SOUTH	KANDUYI	TOWNSHIP	0811010102066	WASILWA	91	
265	4	803	BUNGOMA	BUNGOMA	NORTH	KIMILILI	KIBINGEI	0812020401017	LUTONYI/MATISI	109	
266	4	803	BUNGOMA	BUNGOMA	EAST	WEBUYE	WEBUYE	0813010102061	BWABIYA	73	
267	4	804	BUSIA	BUSIA	BUSIA TOWNSHIP	BUSIA TOWNSHIP	MJINI	0816010101062	BURUMBA/C	46	
268	4	804	BUSIA	TESO	SOUTH	CHAKOL	ANGOROM	0820020501010	OMERI	129	