Employer Survey Design Planning Report

Skills Toward Employment and Productivity (STEP)

ARMENIA

This Version: January31 2013

DRAFT

STEPSKILLS MEASUREMENT

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Introduction

The Employer Survey Design and Planning Report is aimed at clarifying implementation procedures outlined in background documents provided by the STEP Team to the Survey Firm (e.g., Interviewer 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.

PART 1: World Bank Country Team

1.1. Employer Questionnaire

Technical Standard	*Description*	*Approved by the Core Team*
1. Country-specific Questions Each country is permitted to insert country-specific questions in the Employer Questionnaire. The questions and their placement must be confirmed with the STEP Core Team.	*Not applicable*	
2. Random Selection of Employee Types for the Employer Questionnaire Provide the firm with the share of the labor force in ARMENIA for each of the 10 listed categories of employees (Appendix 1). The random selection stickers in the Employer Questionnaire use these shares to generate employee types the Interviewer will ask specific questions about.	*See firm documentation*	

1.2. Fieldwork

Technical Standard	*Description*
3. Advance Survey Information Please describe briefly the initial method of approaching targeted employers.	*Not applicable*
4. Respondent Incentive If applicable, please describe the respondent incentive mechanism *The following should include information on the nature of the token, its cost, the criteria through which it will be given, monitoring/controlling procedures, and the overall cost.*	*A small token of appreciation will be provided to respondents.*

1.3. Sample Frame and Benchmark Variable Counts

Information Required	*Information Provided* (*Type, Date, Source*)	*Approved by Sampler?* *Date*
1. Sample Frame Counts The World Bank Country Team Task Leader will provide the Sample Frame counts that correspond to the sample design units to the STEP Team for weighting. [Note: This information may have already been provided with the sampling information.]	*See section 3*	
2. Benchmark Variable Counts (if applicable) If the country requires the calculation of a benchmark weight then the World Bank Country Team Task Leadermust specify the desired benchmark variables and provide the pertinent counts of the benchmark variable totals. In other words, if the basic population weights are to be adjusted 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 Enterprises), then the World Bank Country Team Task Leader will provide the pertinent counts of the benchmark variable totals.	*Not applicable*	

PART 2: Survey Firm – Survey Instruments and Fieldwork

2.1. Project Team

- **Employer Survey Project Leader –** Heghine Manasyan
- **Survey Methodologist/Research Director–** Armine Petrossian/Drew Loizeaux
- **Data Collection Manager** – Lusine Zakaryan
- **Data Processing Manager** – Iskuhi Mkrtchyan
- **Linguistic Specialist –** Sos Avetisyan

2.1.1. Qualifications and Expertise of the Survey Institute

1. Identify the leading survey institute

Name	Caucasus Research Resource Centers (CRRC) – Armenia of the Eurasia Partnership Foundation
When was the survey institute founded?	2002, August
Owner	The Eurasia Partnership Foundation (EPF)
Headquarters' address	52, Abovyan Street 3rd floor, rooms 305, 307, 309, 312 Yerevan 0025, Armenia 56, Zarobyan Street Yerevan 0009, Armenia
Contact information	E-mail: crrc@crrc.am URL: www.crrc.am

2.2. Employer Survey Questionnaire

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
Each participating country will implement the Employer Questionnaire prescribed by the STEP Team.	☑		
1. Translation of the Employer Questionnaire The Employer Questionnaire will be adapted to the country context in English and then translated based on guidelines provided by the STEP Team. These guidelines include: ▪ A translation by a qualified translator ▪ The translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness. ▪ The Survey Firm will submit questions randomly selected by the World Bank for verification by a World Bank-contracted translator ▪ If the Employer Questionnaire is administered in several languages, the above procedure will be followed for the translation of the Employer Questionnaire in each language	☑		
2. Translation of all Survey Materials (with the exception of the questionnaire) All Survey Materials will be translated based on guidelines provided by the STEP Team. The Survey Materials include:	☑		
▪ The Interviewer Manual, which will be translated by a qualified translator	☑		
▪ The PowerPoint Presentations for the interviewers' training, which will be translated by a qualified translator	☑		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
▪ The Brochure presenting the STEP Survey, which will be translated by a qualified translator	☑		
▪ If the Employer Questionnaire is administered in several languages, the Materials listed above will be translated as needed	*NA*		
3. Pilot Survey The Employer Questionnaire will be pre-tested as required by the STEP Team and as specified below:			
▪ Finalized questionnaires will be tested in a pilot test of 6-10 firms	☑		
▪ *Sample*:	☑		
- Number of firms - Small and large firms – *please specify how many of small and large firms*	*8 firms total - 4 small, 2 medium and 2 large*		
- Various sectors – *please specify the sectors and the number of firms per sector*	*4 trade, 2 construction 2 industry*		
- Various geographical areas – *please specify the areas and the number of firms per area*	*Yerevan -4* *Lori – 2* *Kotayk -2*		
▪ The pilot test will be administered by the main trainer(s) for the interviewer training	☑		
▪ Data collected during the Pilot Survey will be entered through the Data Entry Program	☑		
▪ Submit a 5-10 page report to the WB including recommendations for any changes in implementation or questionnaire translation, etc	☑		

2.3. Fieldwork Teams

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
1. Interviewer and Supervisor Hiring Plan			
▪ **Interviewers' Qualifications** Interviewers and Supervisors should at minimum be high school graduates	☑		
▪ **Number of interviewers and Supervisors** Firms: 400; Firms per interviewer: 20-25; Interviews per week per team: ~70; Weeks in field: 3; Teams: 2; Interviewers: 20; Supervisors: 2			
Please indicate the number of interviewers and supervisors the Survey Firm intends to hire	*20 interviewers and 2 supervisors*		
▪ **Method of payment** Interviewers' remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a piece-meal basis.		*Experience with conducting surveys in Armenia has showed that monetary incentive to complete surveys is very important to ensure timely completion of work. CRRC limits the*	**APPROVED**

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
		negative impact of paying this way by also providing (less) remuneration for non-responses.	
2. Interviewer Training Plan			
▪ Training dates	*07 – 9 February, 2013*		
▪ Fieldwork must start within 4 days of finishing training	☑		
▪ Location of the training Please note that the interviewers' training should take place in one single session and location	*Yerevan*		
▪ Training will be based on material provided by the STEP Team and translated by the Survey Firm	☑		
▪ Training will consist of 2 full days of in-class training, plus at least one practice interview in a workplace and a debriefing session	☑		
▪ Trainers - Head Trainer(s): Name(s), education level, and whether they attended the "Train the Trainer" videoconference session held from Washington DC - Assistant Trainers: Names, education level, and whether they attended the "Train the Trainer" videoconference session held from Washington DC	*Dr. H. Manasyan (Head Trainer) -(attended training)* *Ms. L.Zakaryan (Head Trainer) -(attended training)* I.Mkrtchyan *(Assistant Trainer) - (attended*		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
	training)		
▪ Training Evaluation Report: the Survey Firm will send the STEP Team a one-page training report including the following information, within one week of the end of training: - List of trainees (names) - List of selected interviewers - List of selected supervisors	☑		
▪ 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	☑		

2.4. Fieldwork

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
1. Data Collection			
▪ Each component of the STEP Survey will be carried out by a personal visit using a Paper And Pencil Interview (PAPI) method.	☑		
▪ In the event an interviewer's work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone.	☑		
▪ 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 telephone calls with supervisors and field manager.*		
2. Activating reserve samples			

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
▪ Interviewers should make every attempt to interview all firms on their lists, if necessary repeating visits to the same company. ▪ Supervisors should provide support, and should visit firms that have refused to take part in the Survey, to try to convince them to cooperate	☑ ☑		
▪ The following steps will be followed if the firm requires replacements in order to complete the targeted number of interviews:			
i. The Survey Firm completes the original sample, making every effort to interview each firm on the list. At the end of interviewing all the originally sampled list of [300-1000] firms, the Survey Firm will submit the list of completed firms, the data from these firms, and the questionnaires to the STEP Team.	☑		
ii. For any firm for which an interview was not completed, the survey firm must provide a complete account of the reasons, i.e., refusal, shut down, moved, could not be located, etc., as well as other information that it may have retrieved about the firm (such as number of employees, if part of larger firm, type of ownership, etc). iii. Detailed records of attempts made, and all circumstances must be kept for all non-interviews of originally selected firms.	☑ ☑		
iv. The Survey Firm will use the reserve list when replacements are needed. v. Firms must be taken in order from the list, starting with the first firm in an applicable stratum. Again, if for any firm on that list, an interview was attempted and could not be completed, all information must be recorded on a tracking form.	☑ ☑		
vi. If the Survey Firm does not complete the targeted number of interviews after having gone through the original sample list and the reserve list, options will have to be discussed with the STEP Team. If the World Bank team validates the work carried out on the first two lists, it may provide a second reserve list.	☑		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
vii. This last step may be repeated if necessary, until the correct number of firms is interviewed.	☑		
3. Field Supervision			
3.1 Team Supervisors ▪ Each interviewer will report to a Regional Supervisor. ▪ Regional Supervisors' responsibilities include: - Coordinating fieldwork in the assigned region - Full-time work with the interviewers and on-going monitoring of interviewers' work - Checking non-response, activation of reserves, problems encountered, and communicating regularly with the Field Manager - Submitting questionnaires and fieldwork tracking forms to Headquarters	☑ ☑		
<u>Quality control by Team Supervisors:</u> - At least one meeting per week with each interviewer to discuss progress and/or problems. - Random spot visits during interviewers' work to observe interviews. For each interview observed, provide a 1-page evaluation report - Follow-up of non-response cases and document all relevant information - Check each accepted questionnaire for completeness and accuracy before submitting to Headquarters - Interviewer visit verification: the Supervisor will revisit 15% of each interviewer's assigned firms. (Telephone calls are permitted for up to 1/3 of the revisits). The firms to revisit will be selected randomly by the Field Manager or Headquarters. -	☑		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
3.2 Field Manager ▪ The Field Manager is responsible for the entire fieldwork. ▪ The Field Manager's responsibilities include: - Set up the field structure and reporting structure, with Regional Supervisors *Please briefly explain the field reporting structure.* - On-going monitoring of fieldwork, and reporting to Project Manager.	☑ *Interviewer ⇨ Regional Supervisors ⇨ FW manager ⇨Project Manager* *The Field Manager will conduct day-to-day management of the survey once it is underway and will give end of day progress reports to project manager and project team.*		
<u>Quality control by Field Manager</u> - Frequent communication with Regional Supervisors to discuss progress and problems. - Provide support to resolve any questions on questionnaires, non-response, documentation or any other problems encountered by the interviewers in the field - Random spot visits the field to observe progress, and to participate in interview visit verification - The STEP Team may also ask to attend verification revisits, and randomly choose the firms to revisit	☑		
4. Minimizing Non-Response Rates			
▪ PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES	*Interviewers will all have flexible schedules and will be*		

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Core Team***
▪ Please describe the Survey Firm's strategy to reduce non-response rates. In particular: i. Flexible scheduling times for the interviews ii. Prior contact strategy iii. Introduction letter from the World Bank and relevant government ministries iv. Incentives, if any v. If the interviewer is unable to gain the cooperation of a selected firm, the case will be referred to the interviewer's supervisor who will attempt to convert such cases to completed interviews.	*encouraged to offer interviews at times that managers of businesses, who may be very busy, will be able to make. There will be an incentive worth approximately $10, which will be some sort of office supply item for the business managers (calendar, note pad, etc.). Contact with the firms will be done as early as possible and will include an introduction letter from The World Bank explaining the project. If an interviewer is having trouble scheduling an interview with a firm, the Supervisor and Field Manager will be informed so that they may attempt to persuade the firm to participate in the survey.*		
▪ Non-Response Bias Assessment Each participating country is responsible for assessing the bias due to non-response and reporting 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.	☑		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
(See additional information in section 3.3) Therefore, it is critically important to make every effort to minimize the non-response rate and the resulting potential bias.			
5. Fieldwork Monitoring by the STEP Team			
▪ **Weekly Update** - The Survey Firm will provide weekly updates to the STEP Team on fieldwork progress	☑		
The Weekly Updates will include: - The number of firms visited by firm size, sector, and geographic area - The number of refusals by firm size, sector, and geographic area - Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.	☑		

2.5. Data Processing

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
1. Data Capture and Verification Plan **a. Data Entry** ▪ Each country's STEP data file will be created according to the Variable Convention provided by the STEP Team	☑		
▪ The Survey Firm may use the Data Entry Program provided by the	*CRRC –Armenia will*		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
STEP Team, which is based on a custom-written Excel macro and features data capture screens mirroring the questionnaire pages, or it may use its own Data Entry Program	*use its own CSPro Data Entry Program developed by the Georgian team and adapted to the Armenia questionnaire.*		
If the Survey Firm uses the STEP Data Entry Program: ▪ The STEP Team will provide training on the use of the Data Entry Program to the country's IT team ▪ There will be a 1-day training session for data entry operators on the Data Entry Program *Please provide the name of the trainer*	☑ *I. Mkrtchyan (trainer)*		
If the Survey Firm uses its own Data Entry Program: ▪ It will send it to the STEP Team no later than 2 weeks before the start of the fieldwork ▪ The Data Entry Program will strictly conform with the Variable Convention provided by the STEP Team	*NA*		
▪ **Training of the Data Entry persons** They should participate in the interviewer training because a thorough knowledge of the Questionnaire will be valuable to their work	☑		
▪ Please provide the name of the person responsible for Data Entry and Management as well as the number of people assigned to Data Entry	*I.Mkrtchyan (4)*		
b. Data Capture Verification ▪ Data capture of the Employer Questionnaire will be entirely verified through double data entry	☑		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
▪ Two different operators will carry out the double data entry			
If the Survey Firm uses the STEP Data Entry Program: ▪ All differences in the captured data will be resolved by the second data entry person, using the STEP-provided data entry program, which flags differences	☑		
If the Survey Firm uses its own Data Entry Program: ▪ Please indicate how differences will be reconciled	*NA*		
▪ 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	☑		
▪ The country is expected to transmit the first week of data within two weeks of the start of the fieldwork	☑		
2. Tracking Respondents' Sample Identification Number ▪ Each Employer who completes the questionnaire should have a unique code for data entry. ▪ Each interviewer, supervisor and data entry person should also have a unique code that should be recorded for all questionnaires. ▪ A field for recording the respondent's Sample Identification Number is required on all survey instruments and any pertinent supplementary material.	☑		
3. Plan for Coding of the Employer Questionnaire ▪ Coding will be undertaken by at least one Coder working at the Head Office *Please provide the name of the Head Coder and Assistant Coders if any*	☑ *Iskuhi Mkrtchyan*		

Technical Standard / Required Information	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Core Team*
▪ Pre-coded response categories from the Employer Questionnaire will follow the Variable Convention provided by the STEP Team ▪ The following codebooks will be used to code education, occupation, and industry information from the Employer Questionnaire: - '2008 International Technical Standard Classification of Education (ISCED)' will be used to code the education variable, i.e., 'highest level of education' - 'International Technical Standard Industrial Classification of All Economic Activities, Third Revision' will be used to code the industry variable.	*(Head Coder) Argam Arshakyan, TBD among supervisors (Assistant Coders)*		
4. Submission of the Employer Questionnaire data to the World Bank ▪ Each country will submit the Employer Questionnaire data to the World Bank ▪ The edited data file should be free from errors and conform to the Variable Convention ▪ The final clean data file must include: - one sample record for each sampled case (i.e., both initial and reserve sample) - a response code (e.g. complete, refusal, ineligible, other non-response, unused reserve sample) for each sampled case.	☑		

2.6. Confidentiality

Information Required	*Description*

Information Required	*Description*
1. Country's Data Confidentiality Requirements The Survey Firm will advise the STEP Team of its country's confidentiality rules regarding the handling and sharing of respondent's data.	The key piece of legislation in Armenia that addresses confidentiality requirements is "The Law of The Republic of Armenia on state statistics" and was passed in 2001. The main points of this law are: **Chapter 1 General Provisions** **Article 5. Requirements to the State Statistics** The state statistics are required to be reliable, accurate, and the statistical data must remain anonymous. **Chapter 2 Organization of the State Statistics** **Article 14. Presentation, Use, Publication and Keeping of the State Statistical Information** The statistical data is considered confidential if it is possible, by direct or indirect form, to reveal the provider of statistical information or to obtain personal information. Data taken from publicly available sources shall not be considered confidential. Data considered confidential without the agreement of their provider should not be published or by other form disseminated. For scientific research, data that is statistically confidential may be used or published in exceptional cases where the identification of the individual will not be provided. The Council decides when to implement this rule. Collected information may be given to certain staff members or statisticians if it is necessary for statistical purposes or if these persons abstain from publishing the information containing the statistical confidentiality or using it for their own interests or the interests of third parties.

Information Required	*Description*
	CHAPTER 3 Rights and Obligations of the Body Implementing the State Statistics and Bodies Implementing the Administrative Statistics **Article 16. Obligations of the Body Implementing the State Statistics** The body implementing the state statistics is obliged to preserve the principles of anonymity of the collected statistical data and to not publish or disseminate the initial statistical information.

Technical Standard	*Agreed by the Survey Firm*
2. Steps to Ensure Data Confidentiality ▪ 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 Survey Firm. The ownership of any information and data belongs to the World Bank. ▪ All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities.	☑
▪ Each country will submit the data file to the World Bank STEP team (regional team and core team). Data release beyond the World Bank teams may not be done until 6 months after the submission of the final data files.	☑

2.7. Quality Assurance

Standard	***Agreed***
1. Quality Assurance ▪ Quality assurance will be addressed at all stages of the STEP Survey. 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.	☑
2. Team Composition ▪ The following key persons on the STEP project team are committed to the project for the duration of the pilot and main surveys: 1. Name of National Project Manager 2. Name of Senior Survey Methodologist 3. Name of the Data Collection Manager/ Field Manager 4. Name of the Data Processing Manager	*(1) Heghine Manasyan* *(2) Drew Loizeaux/Armine Petrosyan* *(3) Lusine Zakaryan* (4) *Iskuhi Mkrtchyan*
3. Expert Meetings The National Project Manager is committed to attending the international meetings deemed necessary by the STEP Team. Similarly, other team members will participate in the international meetings when requested by the STEP Team.	☑
4. Response Rate a) Survey responses will be monitored throughout the data collection activity, b) The development and implementation of a contact strategy and a strategy to minimize non-response (described earlier in this report) are instrumental in assuring data quality.	☑
5. Data Processing The following quality assurance procedures are planned: a) Test of the data capture system b) 100% verification the captured data c) Creation of the STEP International Data File according to the Variable Convention specifications provided by the STEP Team	☑

Standard	*Agreed*
d) Data editing	

2.8. Schedule

Schedule for the Implementation of WB STEP Survey by CRRC	
Activity	**Date**
First training session: 14; 15 August, 2012	14-15.08.2012
Adaptation Questionnaire in English	15.09.2012 - 31.09.2012
Translation of the questionnaire	22.10.2012 - 10.11.2012
Translation of the other materials	20.11.2012 - 09.12.2012
Prepare detailed sampling plan	01.12.2012 - 25.01.2013
Pilot test of 8 firms	08.01.2013 - 12.01.2013
Evaluation of pilot test findings and results	14.01.2013-20.01.2013
Employer questionnaire finalized	25.01.2013
Interviewer training – 3 full days	07.02.2013 - 09.02.2013
Time in the field	10.02.2013 - 07.03.2013
Submission of final reports and databases	31.03.2013

2.9. Budget

400 In-depth Interviews, Armenia					
Personnel Costs		**Days**	**%%**	**Unit cost**	**Total**
	Regional Program Director	6	50%		
	Regional Coordinator	0	50%		
	Country Director	8	80%		
	Program Manager	18	100%		
	Research Associate	18	100%		
	Research Associate	0	100%		
	Office Manager	6	60%		
	Finance Manager	3	60%		
	Employer social tax		15%		
Direct Costs		**Unit**	**# of Units**	**Unit cost**	
	Questionnaire translation x 3	Pages	75		
	Interviewer manual translation	Pages	30		
	Interviewer training	Days	4		
	Printing	Questionnaire	500		
	Honorarium for Pretest	Interviews	10		
	Transportation for Pretest	People	2		
	Honorarium for Interviewers	People	400		
	Incentives	People	400		
	Data entry (twice)	Questionnaire	400		
	Analysis and Reporting	Days	8		

	Communication for Interviewers	People	20		
	Transportation Interviewers	People	20		
	Final report	Days	10		
	SUBTOTAL				
Indirect Costs				**%%**	**Total**
	Overheads			10%	
	SUBTOTAL				
TOTAL IN-DEPTH INTERVIEWS					

PART 3: Survey Firm – Sampling and Weighting

3.1. Target Population

Technical Standard	*Definition*	*Approved by the Core Team and the Sampler*
Target Population The target population is all non-government Enterprise workplaces in the urban regions of <Armenia>.	☑	✓OP Dec 31-2102
▪ The survey unit is the Workplace, i.e., a place, such as an office or factory, where people are employed. *Note*: a firm may have several workplaces		
▪ The Survey Firm will conduct interviews in Workplaces varying in size. Please describe the criteria used to define "small" and "large" Workplaces (e.g., workforce size)	*Workforce size will be used. The categories are as follows:* *5-10 – small, 11-50 – medium, 51+ large*	✓OP Dec 31-2102
▪ Sectors / Industries selected	*Food processing; fishing; mining; manufacturing; electricity, gas and waterworks; construction; wholesale, retail trade, repair of motor vehicles, motorcycle and household goods; hotels and restaurants; transportation; financial services; real estate*	✓OP Dec 31-2102
▪ Geographic areas	*The survey will be conducted in all marzes of Armenia.*	✓OP Dec 31-2102
▪ Other features of the Target Population	*NA*	
▪ Exclusions from the Target Population	*NA*	

3.2. Sample Size

Technical Standard/Information Required	*Definition*	*Approved by the Sampler?* *Date*
A minimum of [300-1000] interviews must be submitted to the STEP Team.	☑	✓OP Feb. 11-2102
Please provide the country's sample size goal.	400	✓OP Dec 31-2102

Information Required	*Sample Size and Assumptions*	*Approved by the Sampler?* *Date*
1. Sample Size		
a. Provide the country's **final sample size goal** by sample design variable E.g. by strata, by PSU, etc Minimum Sample Size: [300-1000] firms	*400 Total – The sample will first be stratified by workforce size and geographic location.*	✓OP Dec 31-2102 (Workforce size and geographic location will be considered as explicit strata with a predetermined sample size in each stratum. The sphere of activity will be treated as an implicit stratum, i.e., the file will be sorted by sphere of activity within the explicit

		strata in order to obtain an approximate sample representation by sphere of activity.)
b. Provide the country's overall **initial sample size**, including the **size of the reserve sample** by sample design variable E.g. by strata, by PSU, etc	The initial sample size, including the reserve sample, will be 800. After this, all medium and large firms will be contacted and branches will be identified. All workplaces will then be added to one list and a random sample of 400 firms will selected. After this, another 400 will be chosen as the reserve. This method is per the instructions provided by the STEP team with slight modification to the reserve size approved via email.	✓OP Dec 31-2102
c. **Assumptions:** Describe the basis for the size of the reserve sample E.g. expected non-response rate	*The basis for the reserve sample size is based on the worst-case assumptions of non-response rate and incomplete data from the sample list source document.*	✓OP Dec 31-2102

3.3. Response Rate Goal and Non-Response Bias Assessment

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*
The response rate goal is to obtain an interview from at least 70% of the sampled firms.	☑	Due to the fact that the sample frame available (taxpayers list as of mid 2012)	✓OP Feb. 11-2102

		is not updated very often and contains incorrect information the expected response rate is 50%. For this reason we are using a 100% reserve size. This is in line with past surveys conducted by CRRC using this sample frame.	

Information required	***Proposed Plan to Assess Non-response Bias***	***Approved by Sampler?*** *Date*
1. Non-response Bias Assessment a) 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. b) Results from countries with response rates below 50% will not be published unless the country can provide the STEP Team 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%. c) 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.	☑ ☑ ☑	✓OP Feb. 11-2102

The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include: - 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. - A comparison of sample counts of key respondent variables to external totals from a reliable source; - A comparison of respondents and non-respondents on auxiliary Sample Frame variables; - A comparison of response rates by industry subgroup; - A comparison of estimates before and after weighting adjustments; - A comparison of "late" or "hard-to-contact" or "non-cooperative" respondents to "early" or "easy-to-contact" or "cooperative" respondents; - Calculation of the range of potential bias.		

3.4. Sample Frame

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*
Definition The Sample Frame is the list of firms from which the STEP sample will be selected. It defines the coverage of the targeted firms and provides the means to identify and locate selected workplaces.	☑		

The Sample Frame should provide coverage of the targeted firms so that the number of unique, in-scope survey units on the Sample Frame comprises at least 95% of the targeted firms. It should be complete, accurate and up-to-date.	☑		

Information Required	***Information Provided*** *(Type, Date, Source)*	***Approved by Sampler?*** *Date*
1. Frame type The Sample Frame may be a list of workplaces from the STEP Household Survey or another firm registry.	*The sample frame is a list of registered businesses with the Social Security State Agency from 2012..*	✓OP Dec 31-2102
2. If the Sample Frame isn't provided by the STEP Household Survey, please detail the frame fully, including:		
a) Source of the frame E.g., 2010 Firm Registry	*A list of taxpayers registered with the Social Security State Agency from 2012.*	✓OP Feb. 11-2102
b) Definition of survey units of the frame for each stage of sampling	*First stage unit is firm and second stage unit is workplace if applicable.*	✓OP Dec 31-2102
c) Data items on the frame for each stage of sampling E.g., name, address, firm size, etc.	*First stage - name, address, sector, and workforce size (by worker count). The second stage workplaces' size and location will be gathered from applicable firms.*	✓OP Dec 31-2102
d) Identify the variables to be used for stratification if applicable	*Name, address (location) and workforce size.*	✓OP Dec 31-2102
e) Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., number of firms by size category, number of firms by industry, etc.	*The proposed sample frame (list of taxpayers registered with the Social Security State Agency as of mid 2012) contains about 100 thousand units of state and private enterprises, as well as individual entrepreneurs. The number of*	✓OP Dec 31-2102

<table>
<tr>
<td></td>
<td>private businesses that fit into the survey's parameters is about 10,410. The table below outlines the composition of the latter by location and workforce size (% of total).
<table>
<tr><th>FRAME</th><th>5-10</th><th>11-50</th><th>51 +</th><th>TOTAL</th></tr>
<tr><td>other urb</td><td>1928</td><td>1360</td><td>240</td><td>3528</td></tr>
<tr><td>Yerevan</td><td>3416</td><td>2747</td><td>719</td><td>6882</td></tr>
<tr><td>TOTAL</td><td>5344</td><td>4107</td><td>959</td><td>10410</td></tr>
</table>
According to the table, the majority of business entities are small and located in the Capital city.</td>
<td></td>
</tr>
<tr>
<td>f) 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 firms, up-to-date, duplication, etc…
ii. Explain any steps taken to ensure that the frame is complete and up-to-date.</td>
<td>The main issue with the sample frame is the possibility that some of the firms listed no longer exist and that the frame has incomplete addresses and contact information for a notable share of the firms. As soon as the sample is identified and number of units to be observed is narrowed down, outside available sources and business registries, such as Spyur.am, the list of the 1,000 largest taxpayers (by amount paid) released annually by the State revenue committee, the catalogue of exporters, and the state list of micro, small and medium enterprises (from the SME DNC) will be used to adjust the location, contacts and other parameters of the sampled enterprises.</td>
<td>✓OP
Dec 31-2102 (It is understood that this sample frame with the imperfections is the best that is available.)</td>
</tr>
</table>

3.5. Sample Design

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Sampler?* *Date*
1. If the country opts for the Sample Frame provided by the STEP Household Survey ▪ The World Bank will provide a list of sampled firms to the survey organization. The sampled firms will have been randomly chosen, with a probability proportional to the number of employees in the firm, from the list of all enterprises/firms named as workplaces by individuals in the STEP Household Survey. ▪ A separate list of reserve firms will be provided along with the list of initially sampled firms. The number of reserves will amount to at least 100% of the number of firms on the original list. ▪ These lists will contain information on: - the name, - address or approximate location, - phone number, - size, - and activity (industry or sector) of the firm. ▪ No other list should be used to include firms in the sample. It will be the responsibility of the Survey Firm to contact the employers on the list and persuade them to provide information for the project. ▪ Prior to the fieldwork, it would be useful if the survey firm could obtain any firm registries or other comprehensive databases on firms, which are commonly compiled by National Statistical Offices and other government agencies (and which in many countries are publicly available and frequently obtainable). These may help to facilitate contacts with the firms.	*NA*		NA
2. If the country opts for another Sample Frame *Please describe the Sample Design:*	**STEP 1:** The sampling frame will		

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*
▪ In the first stage, firms will be preferably selected with probability proportional to size from the Sample Frame. The preferred measure of size is the number of employee in the following Enterprises size categories: Size Category	Number of Employees 1	1 to 10 2	11 to 50 3	51 or more *Please describe the sampling process* ▪ In the second stage, workplaces will be randomly selected as the target sample. *Please describe the sampling process* In general, registries that will be compiled by government agencies will list the enterprise, whereas this project is looking to interview a workplace. Since an enterprise can have many workplaces, a second stage sampling should be conducted. Thus the Survey Firm should also address how it proposes to sample workplaces if working from a particular registry. As an example of 2nd stage sampling, one could draw establishments randomly (proportional to the workforce size, if the variable is obtainable) from a firm selected in the first stage and draw 5% of the establishment workplaces, with a maximum of 30% of the establishment workplaces. In addition, a reserve sample of at least 100% extra firms may be selected to allow for a 50% non-response rate. For example, if a country's sample goal is 500 complete interviews then a reserve sample of 500 firms should also be selected to allow for up to 50% non-response cases. Thus the total selected sample would be	be divided into two geographic strata: 1) Yerevan, and 2) Other urban. **STEP 2**: In each of the 2 stratum, 400 firms will be chosen: 33% (so 133 firms) in each of small, medium and large for Yerevan, and 400 firms taken with the same percentages in the "other urban" So 800 firms will be sampled. **STEP 3**: The team will verify information for each of these 800 firms (via making contacts by phone or email or finding the information on-line), and determine if they		

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*
1000 firms. **<u>Note</u>**: *If a country expects less than a 50% response rate then the size of the selected sample should be adjusted to allow for the expected response rate. For example, if a country expects a 40% response rate then with a sample goal of 500 complete interviews the total selected sample including the reserve sample would be calculated as follows,* $$Total\,Sample = \frac{Sample\,Goal}{Expected\ \mathrm{Re}sponse\,Rate} = \frac{500}{0.4} = 1250$$ In this example, the total selected sample of 1,250 includes an initial sample of 500 and a reserve sample of 750. Reserve sample cases will be activated on a controlled basis in the order in which they were selected. *Please describe the country's sampling plan.* 1. Stratification a. Explicit Strata i. Size: Large, Medium, Small Sample Size: Large – 133, Medium – 133, Small – 134 ii.Geographic Area: Capital, Other Urban Sample Size: Large-Capital – 67, Large-Other Urban – 66, Medium-Capital – 67, Medium-Other Urban – 66, Small-Capital – 67, Small-Other Urban – 67 b.Implicit Strata – Business Sector (Construction, IT, Tourism) i.Sample Size – proportional to the number of businesses in each Business Sector 2. Sample Selection a.After sorting the sample frame by Size, Geographic quadrant, and Business	have branches, and if so, how many branches and the address of each. **STEP 4**: As a result of the step 3 we will have a list of firms that includes: a) all of the firms without branches and b) all of the branches <u>in urban areas</u> for firms that have branches, so that the list contains all of the workplaces (establishments) identified and each workplace appears only once. **STEP 5**: A random sample of 400 workplaces from the above described entire list from Step 4 will be made for visits to conduct		

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*
Sector, a systematic sample will be selected within each Size stratum and within each Geographic Area stratum. This will yield the above-mentioned target sample sizes for each explicit Size stratum and for each Geographic Area stratum, and a proportional sample size for each implicit Business Sector stratum.	interviews. Another 400 units will be randomly selected among the remaining units from Step 4 to serve as a reserve to the Yerevan and Other Urban strata. Step 6: The reserve list will be divided by Yerevan and Other Urban and will be sorted randomly. When a reserve is required for a firm in Yerevan, we will choose the first firm of the same size on the reserve list that is from Yerevan. When a reserve is required from another city, we will choose the first firm on the reserve list that is of the same size from the Other		

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Sampler?* *Date*
	Urban list.		

3.6. Weighting

Technical Standard	*Agreed by the Survey Firm*	*Deviation Requested from the Technical Standard*	*Approved by the Sampler?* *Date*
1. Weighting Procedures			✓OP Feb. 11-2102
a. The weighting of each country's clean data file will be carried out by the STEP Team.	☑		
b. The weighting of the respondent records will be consistent with the Armenia probability sample design.	☑		
c. Survey weights will be calculated from the clean sample file (i.e., the file resulting from the editing process). The survey weights will be appended to each respondent record on the clean survey file.	☑		
d. The following weights will comprise part of each respondent record: - Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage; - Population weight - non-response adjusted sample design weight; - Benchmark weight (applicable if there are more recent known population totals or there are more reliable known population totals from a source other than the Sample Frame)- the weight resulting from the adjustment of the survey results to known population totals.	☑		

Technical Standard	***Agreed by the Survey Firm***	***Deviation Requested from the Technical Standard***	***Approved by the Sampler?*** *Date*

Appendix

Appendix 1. Occupation Classification

1	**Managers:**
	Chief executives, senior officials and legislators
	Traditional chiefs and heads of villages
	Managing directors, administrative and commerce managers
	Business services and administration managers such as Finance managers, Human resource managers, advertising and public relations managers
	Sales managers, production managers in agriculture, mining, construction
	Specialized services managers, such as managers in health services, hotels, retail or wholesale, sports center managers.
2	**Professionals**
	Science professionals such as physicists, astronomers, chemists, geologists, biologists, farming or fisheries advisers, environmental protection professionals
	Mathematicians, actuaries and statisticians
	Engineering professionals, in industrial, mining, construction, etc:
	Architects, planners, surveyors and designers
	Health professionals such as doctors, nurses, midwives, veterinarians, dentists, physiotherapists, dietitians
	Teaching professionals - all teachers
	Business and administration professionals, accountants, financial advisors
	Administration professionals, sales and marketing, public relations professionals:
	Information and communications technology professionals, such as software developers, programmers, web developers.
	Legal professionals such as lawyers and judges
	Librarians, archivists and curators
	Social and religious professionals such as economists, sociologists, authors, social workers, religious professionals, translators
	Creative and performing artists, such as dancers, actors, radio announcers, musicians

3	**Technicians and associate professionals**
	Science and engineering associate professionals, such as engineering technicians, electrical engineering technicians, mining and metallurgical technicians, power plant operators, incinerator operator, mining supervisors, construction supervisors, draughts persons
	Agricultural technicians, Forestry technicians
	Ship and aircraft controllers and technicians, such as ships' engineers, deck officers, ship pilots, air traffic controllers, aircraft pilots
	Health associate professionals such as medical and dental technicians, laboratory technicians, nursing associate professionals, veterinary technicians and assistants, community health workers, ambulance workers
	Business and administration associate professionals, such as finance dealers and brokers, credit and loans officers, insurance representatives, sales and purchasing agents, real estate agents and property managers
	Administrative and specialized secretaries such as office supervisors, legal secretaries, medical secretaries
	Legal, social, cultural and related associate professionals, religious associate professionals, athletes, sports coaches, photographers, decorators, library and museum technicians, chefs
	Information and communications technicians, such as user support technicians, web technicians, broadcasting technicians.
4	**Clerical support workers**
	Office clerks, general secretaries, customer service clerks, bank tellers and clerks, debt-collectors
	Client information workers, such as travel consultants and clerks, telephone operators, receptionists,
	Travel consultants and clerks
	Data entry clerks, data entry operators
	Accounting and bookkeeping clerks, payroll clerks, stock clerks, mail carries, filing clerks
5	**Service workers**
	Travel attendants, conductors and guides
	Call center operators
	Cooks, waiters, bartenders
	Hairdressers, beauticians and related workers
	Building and housekeeping supervisors, building caretakers
	Domestic housekeepers, Cleaning and housekeeping supervisors in offices, hotels and other establishments
	Fortune tellers, undertakers, pet groomers, animal care workers, driving instructors
	Personal care health workers, health care assistants, child care workers, teachers' aides
	Firefighters, police officers, prison guards, security guards

6	**Sales workers**
	Street and market salespersons, shopkeepers, shop supervisors, sales assistants, sales demonstrators
	Cashiers and ticket clerks
	Fashion and other models
	Door to door salespersons, contact center salespersons
	Service station attendants
	Food service counter attendants
7	**Skilled agricultural, forestry and fishery workers**
	Market gardeners and crop growers
	Animal and poultry producers, dairy producers,
	Market-oriented skilled forestry, fishery and hunting workers
	Subsistence farmers, fishers, hunters and gatherers
8	**Constuction, Craft and related trades workers**
	Building and related trades workers, such as carpenters, bricklayers, masons, plumbers, roofers, plasterers, painters
	Metal, machinery and related trades workers
	Sheet and structural metal workers, moulders and welders
	Blacksmiths, toolmakers and related trades workers
	Electrical and electronics trades workers
	Machinery mechanics and repairers
	Handicraft workers such instrument makers, potters, jewellery workers, workers in wood, basketry, textiles and leather, sign writers, decorative painters
	Printing trades workers
	Food processing, wood working, garment and other craft and related trades workers. Bakers, butchers, pastry cooks
	Tobacco preparers and tobacco products makers
	Wood treaters, cabinet-makers and related trades workers
	Garment workers, tailors, dressmakers, shoemakers, upholstery workers
	Underwater divers, blasters, fumigators and other pest controllers

9	**Plant and machine operators, and assemblers, Drivers**
	Mining, mineral and stone processing plant operators, miners
	Well drillers and borers and related workers
	Cement, stone and other mineral products machine operators
	Metal processing and finishing plant operators
	Chemical and photographic products plant and machine operators
	Rubber, plastic and paper products machine operators
	Textile, fur and leather products machine operators
	Food and related products machine operators
	Wood processing and papermaking plant operators
	Other stationary plant and machine operators
	Assemblers
	Locomotive engine drivers and related workers
	Car, van and motorcycle drivers, bus drivers, lorry drivers
	Mobile plant operators such as earthmoving operators, crane operators
	Ships' deck crews and related workers
10	**Elementary occupations**
	Domestic, hotel and office cleaners and helpers
	Vehicle, window, laundry and other hand cleaning workers
	Agricultural, forestry and fishery labourers
	Labourers in mining, construction, manufacturing and transport
	Transport and storage labourers
	Food preparation assistants
	Street and related sales and service workers
	Street vendors (excluding food)
	Refuse workers and other elementary workers
	Messengers, package deliverers and luggage porters
	Odd job persons
	Meter readers and vending-machine collectors
	Water and firewood collectors

Appendix 2. Firm Experience

Operating since 2003, the Caucasus Research Resource Center-Armenia was formed through a partnership between the Carnegie Corporation of New York, the Eurasia Partnership Foundation (EPF), and local universities. It offers scholars and practitioners stable opportunities for integrated research, training, and collaboration in the region.

CRRC-Armenia regularly uses advanced survey techniques and conducts extensive research on the ground. Our Caucasus Barometer (CB) is the single largest coordinated annual data gathering effort in the South Caucasus, run simultaneously in Armenia, Azerbaijan and Georgia. Conducted in four languages (with an English-language source questionnaire), the CB maintains the highest standards of survey work in the region, including careful translation and detailed documentation of all major decisions. To run our survey successfully, we blend international expertise with highly committed local professionals. This way, we can ensure that the nuances of the local context are captured, while foreign experts bring international experience to resolve recurring challenges.

In addition to the CB, CRRC is continuously engaged in large research projects with major international organizations in Armenia and the South Caucasus, including UN agencies, embassies, and donor organizations. In 2008, CRRC-Armenia received funding from IFES to conduct a nation-wide corruption survey. The USAID program Mobilizing Action against Corruption Activity (MAAC) then supported us to further disseminate the 2008 IFES corruption survey results, and raise public awareness about corruption in Armenia. Two other research projects, a Households and Enterprise Leaders Survey, were conducted for MAAC in 2009.

CRRC-Armenia is subject to audit by international standards, and is supervised by a board of recognized international figures, including former ambassadors, politicians and scholars.