

# TOOL 6 VALUE CHAIN SURVEY DESIGN PLANNING REPORT (VCSDPR)

JOBS IN VALUE CHAINS SURVEYS



# VALUE CHAIN SURVEY DESIGN PLANNING REPORT

## JOBS IN VALUE CHAIN SURVEYS

### LET'S WORK PROGRAM (LWP)

< COUNTRY >



# TABLE OF CONTENTS

INTRODUCTION .....	3
PART 1: WORLD BANK COUNTRY TEAM .....	4
1.1 Rationale for the VC Survey.....	4
1.2 Country-specific Survey Objectives.....	4
1.3 Value Chain Mapping.....	4
1.4 Value Chain Questionnaires.....	5
1.5 Fieldwork.....	5
1.6 Sample Frame and Benchmark Variable Counts.....	6
PART 2: SURVEY FIRM – SURVEY INSTRUMENTS AND FIELDWORK.....	7
2.1 Project Team.....	7
2.2 Jobs in Value Chains - Questionnaires.....	8
2.3 Fieldwork Teams.....	11
2.4 Fieldwork.....	13
2.5 Data Processing.....	20
2.6 Confidentiality.....	22
2.7 Quality Assurance.....	23
2.8. Schedule.....	24
2.9 Budget.....	24
PART 3: SURVEY FIRM – SAMPLING AND WEIGHTING.....	25
3.1 Target Population.....	25
3.2. Sample Size.....	26
3.3 Response Rate Goal and Non-Response Bias Assessment.....;	27
3.4 Sample Frame.....	30
3.5 Sample Design.....	31
3.6 Weighting.....	33
PART 4: PROJECT IMPLEMENTATION REPORT .....	34
ANNEX.....	36

# INTRODUCTION

The Value Chain Survey Design and Planning Report is aimed at clarifying implementation procedures outlined in background documents provided by the WB Team to the Survey Firm (e.g. Interviewer Manual).

Please fill out and read the whole document carefully. 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

## RATIONALE FOR THE VC SURVEY

1. Please provide a brief background of the country’s involvement in the Jobs in Value Chains surveys.
  - a. Include, for example, a brief overview of the scale, quality and inclusiveness of jobs in the country, dynamics that shape firms’ decisions to expand, hire and use labor, any constraints to growth & productivity and the inter-linkages between value chain participants etc
  - b. Provide information on the country’s involvement, if any, in previous studies on value chains.
2. Identify the sponsoring organization

## COUNTRY-SPECIFIC SURVEY OBJECTIVES

1. Please provide a list of country-specific objectives
2. Please provide any relevant background and supporting rationale for the country-specific objectives

## VALUE CHAIN MAPPING

Technical Standard	Description	Approved by the Core Team
<b>1. Value Chain Map</b> Each country is required to complete a comprehensive mapping of the selected regional/national VC.	Please provide the complete mapping for the selected regional/national value chain	

**VALUE CHAIN QUESTIONNAIRES**

Technical Standard	Description	Approved by the Core Team
<p><b>2. Country-specific Questions</b>            Each country is permitted to insert country-specific questions in the Agriculture and Manufacturing Questionnaires.            The questions and their placement must be confirmed with the WB Core Team.</p>	<p>Please list country-specific questions and placement in the questionnaire</p>	

**FIELDWORK**

Technical Standard	Description
<p><b>3. Advance Survey Information</b>            Please describe briefly the initial method of approaching targeted farms/firms.</p>	<p>E.g., advance letter sent to firms, distribution of brochures presenting the Survey and its purpose, website</p>
<p><b>4. Respondent Incentive</b>            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.</p>	

**SAMPLE FRAME AND BENCHMARK VARIABLE COUNTS**

Information Required	Information Provided (Type, Date, Source)	Approved by Sampler? Date
<p><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 WB Core Team for weighting. [Note: This information may have already been provided with the sampling information.]</p>	<p>Sample frame used &amp; counts of survey units (by stratum if applicable).</p>	
<p><b>2. Benchmark Variable Counts (if applicable)</b> If the country requires the calculation of a benchmark weight then the World Bank Country Team Task Leader must specify the desired benchmark variables and provide the pertinent counts of the benchmark variable totals.</p> <p>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 etc), then the World Bank Country Team Task Leader will provide the pertinent counts of the benchmark variable totals.</p>	<p>File Source of Benchmark Variable Counts</p>	

# PART 2: SURVEY FIRM – SURVEY INSTRUMENTS AND FIELDWORK

## PROJECT TEAM

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

### Qualifications and Expertise of the Survey Institute

#### 1. Identify the leading survey institute

Name	
When was the survey institute founded?	
Owner	
Headquarters' address	
Contact information	

- a. Provide a four-line overview of the qualifications and expertise of the key project team members (please attach their Curriculum Vitae in ANNEX ).
- b. Indicate whether or not key team members will work full-time on the Jobs in VC surveys. For those who will not work full time on the Jobs in VC surveys, please indicate the amount of time and the periods during which they will work on the project.
- c. Include firm experience as well as names and types of surveys conducted in the Annex.

#### Project Structure

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



**JOBS IN VALUE CHAINS - QUESTIONNAIRES**

<b>Technical Standard</b>	<b>Agreed by the Survey Firm</b>	<b>Deviation Requested from the Technical Standard</b>	<b>Approved by the Core Team</b>
Each participating country will implement the Jobs in VC Questionnaire prescribed by the WB Core Team.			
<p><b>1. Translation of the Questionnaires</b></p> <p>The Questionnaires will be adapted to the country context in English and then translated based on guidelines provided by the WB Core Team.</p> <p>These guidelines include:</p> <ul style="list-style-type: none"> <li>• A translation by a qualified translator</li> <li>• The translation will be verified sentence-by-sentence, for linguistic correctness, equivalence to the master version and appropriateness.</li> <li>• A third-party will back-translate the questionnaires into English; the person performing the back-translation must do so without knowledge of the original English version. The back-translation must be submitted to the WB team for verification.</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 questionnaire is administered in several languages, the above procedure will be followed for the translation of the Jobs in VC Questionnaires in each language</li> </ul>	Please provide the names of all translators (in each language if several languages)		

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<p><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 WB Core Team.</p> <p>The Survey Materials include:</p>			
<ul style="list-style-type: none"> <li>The Interviewer Manual, which will be translated by a qualified translator</li> </ul>	Please provide the name of all translators (for each language if applicable)		
<ul style="list-style-type: none"> <li>The PowerPoint Presentations for the interviewers’ training, which will be translated by a qualified translator</li> </ul>	Please provide the name of all translators (for each language if applicable)		
<ul style="list-style-type: none"> <li>If the Jobs in VC Questionnaire is administered in several languages, the Materials listed above will be translated as needed</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>3. Pilot Survey</b> The Jobs in VC Questionnaires will be pre-tested as required by the WB Core Team and as specified below:			
<ul style="list-style-type: none"> <li>• Finalized questionnaires will be tested in a pilot test of 6-10 farms/firms</li> </ul>			
<ul style="list-style-type: none"> <li>• Sample:</li> </ul>			
<ul style="list-style-type: none"> <li>- Number of farms/firms</li> <li>- Small and large farms/firms – please specify how many of small and large farms/firms</li> </ul>			
<ul style="list-style-type: none"> <li>- Various sectors – please specify the sectors and the number of firms per sector</li> </ul>			
<ul style="list-style-type: none"> <li>- Various geographical areas – please specify the areas and the number of farms/firms per area</li> </ul>			
<ul style="list-style-type: none"> <li>• The pilot test will be administered by the main trainer(s) for the interviewer training</li> </ul>	Provide the names of the people who conducted the Pilot Training		
<ul style="list-style-type: none"> <li>• Data collected during the Pilot Survey will be entered electronically and submitted to the WB Core Team for review</li> </ul>			
<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>			

**FIELDWORK TEAMS**

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>1. Interviewer and Supervisor Hiring Plan</b>			
<ul style="list-style-type: none"> <li><b>Interviewers’ Qualifications</b> Interviewers and Supervisors should at minimum be high school graduates</li> </ul>			
<ul style="list-style-type: none"> <li><b>Number of interviewers and Supervisors</b></li> </ul>			
<p>Please indicate the number of interviewers and supervisors the Survey Firm intends to hire</p>	Number of interviewers and supervisors		
<ul style="list-style-type: none"> <li><b>Method of payment</b> Interviewers’ remuneration must be independent of the number of completed interviews. In other words, interviewers must not be remunerated on a piece-meal basis.</li> </ul>			
<b>2. Interviewer Training Plan</b>			
<ul style="list-style-type: none"> <li>Training dates</li> </ul>	Please provide training dates		
<ul style="list-style-type: none"> <li>Fieldwork must start within 4 days of finishing training</li> </ul>			
<ul style="list-style-type: none"> <li>Location of the training Please note that the interviewers’ training should take place in one single session and location</li> </ul>			
<ul style="list-style-type: none"> <li>Training will be based on material provided by the WB Core Team and translated by the Survey Firm</li> </ul>			
<ul style="list-style-type: none"> <li>Training will consist of 2 full days of in-class training, plus at least one practice interview in a workplace and a debriefing session</li> </ul>			
<ul style="list-style-type: none"> <li>Trainers                             <ul style="list-style-type: none"> <li>Head Trainer(s): Name(s), education level, and whether they attended the “Train the Trainer” videoconference session held from Washington DC</li> <li>Assistant Trainers:</li> </ul> </li> </ul>			

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
Names, education level, and whether they attended the “Train the Trainer” videoconference session held from Washington DC			
<ul style="list-style-type: none"> <li>• Training Evaluation Report: The Survey Firm will send the WB Core Team a 1-3 page(s) training report including the following information, within one week of the end of training:                             <ul style="list-style-type: none"> <li>• Location and dates of training, including date of practice interviews</li> <li>• List of trainees (names)</li> <li>• List of selected interviewers</li> <li>• List of selected supervisors</li> </ul> </li> </ul>			
<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>			

**FIELDWORK**

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>1. Data Collection</b>			
<ul style="list-style-type: none"> <li>Each component of the Jobs in VC Surveys will be carried out by a personal visit using a Computer Assisted Personal Interviewing (CAPI) method.</li> </ul>			
<ul style="list-style-type: none"> <li>In the event an interviewer’s work is found to be questionable, the interviewer will be dismissed and all his/her interviews entirely redone.</li> </ul>			
<ul style="list-style-type: none"> <li>Please indicate the methods through which the staff will be communicating during fieldwork. E.g., scheduled daily/weekly telephone calls, e-mail of supervisors</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<p><b>2. Fieldwork Supervision</b></p>			
<p><b>2.1 Regional Supervisors</b></p> <ul style="list-style-type: none"> <li>• Each interviewer will report to a Regional Supervisor.</li> <li>• Regional Supervisors' responsibilities include: <ul style="list-style-type: none"> <li>• Coordinating fieldwork in the assigned region</li> <li>• Full-time work with the interviewers and on-going monitoring of interviewers' work</li> <li>• Checking non-response, activation of reserves, problems encountered, and communicating regularly with the Field Manager</li> <li>• Submitting questionnaires and fieldwork tracking forms to Headquarters</li> </ul> </li> </ul>			
<p><b>Quality control by Regional Supervisors:</b></p> <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 interviews. For each interview observed, provide a 1-page evaluation report</li> <li>• Follow-up of non-response cases and document all relevant information</li> <li>• Check each accepted questionnaire for completeness and accuracy before submitting to Headquarters</li> <li>• Interviewer visit verification: The Supervisor will revisit 15% of each interviewer's assigned farms/firms. (Telephone calls are permitted for up to 1/3 of the revisits). The farms/firms to revisit will be selected randomly by the Field Manager or Headquarters.</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<p><b>2.2 Field Manager</b></p> <ul style="list-style-type: none"> <li>• The Field Manager is responsible for the entire fieldwork.</li> <li>• The Field Manager’s responsibilities include: <ul style="list-style-type: none"> <li>• Set up the field structure and reporting structure with Regional Supervisors Please briefly explain the field reporting structure.</li> <li>• On-going monitoring of fieldwork, and reporting to Project Manager.</li> </ul> </li> </ul>			
<p><b>Quality control by Field Manager</b></p> <ul style="list-style-type: none"> <li>• Frequent communication with Regional Supervisors to discuss progress and problems.</li> <li>• Provide support to resolve any questions on questionnaires, non-response, documentation or any other problems encountered by the interviewers in the field</li> <li>• Random spot visits the field to observe progress, and to participate in interview visit verification</li> <li>• The WB Core Team may also ask to attend verification revisits, and randomly choose the farms/firms to revisit</li> </ul>			



Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>3. Activating Reserve Samples</b>			
<ul style="list-style-type: none"> <li>• Interviewers should make every attempt to interview all farms/firms on their lists, if necessary repeating visits to the same company.</li> <li>• Supervisors should provide support, and should visit farms/firms that have refused to take part in the Survey, to try to convince them to cooperate</li> </ul>			
<ul style="list-style-type: none"> <li>• The following steps will be followed if the farm/firm requires replacements in order to complete the targeted number of interviews:</li> </ul>			
<ul style="list-style-type: none"> <li>i. The Survey Firm completes the original sample, making every effort to interview each farm/firm on the list. At the end of interviewing all the originally sampled list of [XX] farms/firms, the Survey Firm will submit the list of completed farms/firms, the data from these firms, and the questionnaires to the WB Core Team.</li> </ul>			
<ul style="list-style-type: none"> <li>ii. For any farm/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 farm/firm (such as size, number of employees, if part of larger firm, type of ownership, etc).</li> <li>iii. Detailed records of attempts made, and all circumstances must be kept for all non-interviews of originally selected farms/firms.</li> </ul>			
<ul style="list-style-type: none"> <li>iv. The Survey Firm will use the reserve list when replacements are needed. Farms/firms must be taken in order from the list, starting with the first farm/firm in an applicable stratum. Again, if for any farm/firm on that list, an interview was attempted and could not be completed, all information must be recorded on a tracking form.</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<ul style="list-style-type: none"> <li>v. 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 WB Core Team.</li> <li>vi. If the World Bank team validates the work carried out on the first two lists, it may provide a second reserve list.</li> <li>vii. This last step may be repeated if necessary, until the correct number of farms/firms is interviewed.</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<p><b>4. Minimizing Non-Response Rates</b></p>			
<ul style="list-style-type: none"> <li>• PARTICULAR ATTENTION WILL BE PROVIDED BY THE FIELD TEAMS TO MINIMIZE NON-RESPONSE RATES</li> <li>• Please describe the Survey Firm’s strategy to reduce non-response rates. In particular:               <ol style="list-style-type: none"> <li>i. Flexible scheduling times for the interviews</li> <li>ii. Prior contact strategy</li> <li>iii. Introduction letter from the World Bank and relevant government ministries</li> <li>iv. Incentives, if any</li> <li>v. If the interviewer is unable to gain the cooperation of a selected farm/firm, the case will be referred to the interviewer's supervisor who will attempt to convert such cases to completed interviews.</li> </ol> </li> </ul>	<p>Please describe the strategy</p>		
<ul style="list-style-type: none"> <li>• Non-Response Bias Assessment Each participating country is responsible for assessing the bias due to non-response and reporting the findings to the WB Core Team who will decide whether an asterisk/footnote will accompany the country's survey results in any international survey publications. (See additional information in section 0) Therefore, it is critically important to make every effort to minimize the non-response rate and the resulting potential bias.</li> </ul>			

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>5. Fieldwork Monitoring by the WB Core Team</b>			
<ul style="list-style-type: none"> <li>• <b>Weekly Update</b> <ul style="list-style-type: none"> <li>• The Survey Firm will provide weekly updates to the WB Core Team on fieldwork progress</li> </ul> </li> </ul>			
<p>The Weekly Updates will include:</p> <ul style="list-style-type: none"> <li>• The number of farms/firms visited by size, sector, and geographic area</li> <li>• The number of refusals by size, sector, and geographic area</li> <li>• Particular attention will be given to the monitoring of progress towards the sample size goals and non-response rates.</li> </ul>			

**DATA PROCESSING**

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<b>1. Data Capture and Verification Plan</b> <b>a. Data Entry</b> <ul style="list-style-type: none"> <li>Each country's data file will be created according to the Variable Convention provided by the WB Core Team</li> </ul>			
<ul style="list-style-type: none"> <li>The Survey Firm may use its own Data Entry Program to capture the data electronically</li> <li>The Data Entry Program must be sent to the WB Core Team no later than 2 weeks before the start of fieldwork</li> <li>The Data Entry Program used by the Survey Firm must strictly conform with the Variable Convention provided by the WB Core Team</li> </ul>	Indicate which Data Entry Program will be used		
<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>			
<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>			
<b>b. Data Capture Verification</b> <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</li> </ul>			
<b>2. Tracking Respondents' Sample Identification Number</b> <ul style="list-style-type: none"> <li>Each respondent who completes the 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 and any pertinent supplementary material.</li> </ul>			

Technical Standard / Required Information	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Core Team
<p><b>3. Plan for Coding of the Jobs in VC Questionnaires</b></p> <ul style="list-style-type: none"> <li>• Coding will be undertaken by one single Coder working at the Head Office Please provide the name of the Head Coder and Assistant Coders if any</li> <li>• Pre-coded response categories from the Employer Questionnaire will follow the Variable Convention provided by the WB Core Team</li> <li>• The following codebooks will be used to code education, occupation, and industry information from the Questionnaire: <ul style="list-style-type: none"> <li>- ‘2008 International Technical Standard Classification of Education (ISCED)’ will be used to code the education variable, i.e., ‘highest level of education’</li> <li>- ‘International Technical Standard Industrial Classification of All Economic Activities, Revision 3.1’ will be used to code the industry variable.</li> </ul> </li> </ul>			
<p><b>4. Submission of the Jobs in VC Questionnaire data to the World Bank</b></p> <ul style="list-style-type: none"> <li>• Each country will submit the Jobs in VC Questionnaire data to the World Bank</li> <li>• The edited data file should be free from errors and conform to the Variable Convention</li> <li>• The final clean data file must include: <ul style="list-style-type: none"> <li>- one sample record for each sampled case (i.e., both initial and reserve sample)</li> <li>- a response code (e.g. complete, refusal, ineligible, other non-response, unused reserve sample) for each sampled case.</li> </ul> </li> </ul>			

**CONFIDENTIALITY**

Information Required	Description
<p><b>1. Country's Data Confidentiality Requirements</b> The Survey Firm will advise the WB Core Team of its country's confidentiality rules regarding the handling and sharing of respondent's data.</p>	<p>Please outline the country's data confidentiality requirements E.g., Country's Statistics Act, Personal Data Act</p>

Technical Standard	Agreed by the Survey Firm
<p><b>2. Steps to Ensure Data Confidentiality</b></p> <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 prior request and 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.</li> <li>All interviewers, data entry, coders and supervisory staff must sign affidavits of confidentiality and non-disclosure for the survey activities.</li> </ul>	

## QUALITY ASSURANCE

Standard	Agreed by the Survey Firm
<p><b>1. Quality Assurance</b></p> <ul style="list-style-type: none"> <li>• Quality assurance will be addressed at all stages of the Jobs in Value Chains 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 project.</li> </ul>	
<p><b>2. Team Composition</b></p> <ul style="list-style-type: none"> <li>• The following key persons on the Jobs in VC 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 Data Collection Manager/ Field Manager</li> <li>4. Name of the Data Processing Manager</li> </ol> </li> </ul>	
<p><b>3. Expert Meetings</b></p> <p>The National Project Manager is committed to attending the international meetings deemed necessary by the WB Core Team. Similarly, other team members will participate in the international meetings when requested by the WB Core Team.</p>	
<p><b>4. Response Rate</b></p> <p>a. Survey responses will be monitored throughout the data collection activity,</p> <p><b>5.</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.</p>	
<p><b>6. Data Processing</b></p> <p>The following quality assurance procedures are planned:</p> <ol style="list-style-type: none"> <li>a. Test of the data capture system</li> <li>b. 100% verification of the captured data</li> <li>c. Creation of the Jobs in VC International Data File according to the Variable Convention specifications provided by the WB Core Team</li> <li>d. Data editing</li> </ol>	



**SCHEDULE**

Please insert your proposed schedule here

**BUDGET**

Please insert your budget here

## PART 3: SURVEY FIRM – SAMPLING AND WEIGHTING

### TARGET POPULATION

Technical Standard	Definition	Approved by the Core Team and the Sampler
<b>Target Population</b> Example: The target population are businesses (including formal and informal businesses and farms) in the selected regions of <COUNTRY>.		
<ul style="list-style-type: none"> <li>The survey unit is the workplace, i.e., a place, such as a farm, an office or factory, where people are employed. Note: a firm may have several workplaces</li> </ul>		
<ul style="list-style-type: none"> <li>The stage/link of the value chain selected</li> </ul>	Please list the stages of the VC	
<ul style="list-style-type: none"> <li>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, land)</li> </ul>	Please provide a definition	
<ul style="list-style-type: none"> <li>Geographic areas</li> </ul>	Please list which geographic areas the Survey will target	
<ul style="list-style-type: none"> <li>Other features of the Target Population</li> </ul>	Please describe any other characteristic of the Target Population	
<ul style="list-style-type: none"> <li>Exclusions from the Target Population</li> </ul>	Please describe any exclusion from the target population	

## SAMPLE SIZE

Technical Standard/Information Required	Definition	Approved by the Sampler? Date
A minimum of [XX-XX] interviews must be submitted to the WB Core Team.		
Please provide the country’s sample size goal. Provide details by stage/level of the Value Chain.	Sample size goal and division across levels of the VC	

Information Required	Sample Size and Assumptions	Approved by the Sampler? Date
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: [XX-XX] firms		
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.		
c. Assumptions: Describe the basis for the size of the reserve sample E.g. expected non-response rate		

**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.			

Information required	Proposed Plan to Assess Non-response Bias	Approved by Sampler? Date
<p><b>Non-response Bias Assessment</b></p> <ul style="list-style-type: none"> <li>a. Each participating country will carry out an assessment of the bias due to non-response and report the findings to the WB Core Team who will decide whether an asterisk/footnote will accompany the country's survey results in any international survey publications.</li> <li>b. Results from countries with response rates below 50% will not be published unless the country can provide the WB Core 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%.</li> </ul>		

Information required	Proposed Plan to Assess Non-response Bias	Approved by Sampler? Date
<p>c. If a country attains less than a 70% response rate, it will conduct an extensive non-response bias analysis. Once this requirement is fulfilled to the satisfaction of the WB Core Team, the country's survey results may be included in any international survey publications with asterisks and footnotes as appropriate.</p> <p>The extensive non-response bias analysis should include more than one type of analysis of the non-respondents. Some possible non-response analyses include:</p> <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>		

## SAMPLE FRAME

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Sampler? Date
<p><b>Definition</b> The Sample Frame is the list of farms/firms from which the sample will be selected. It defines the coverage of the targeted farms/firms and provides the means to identify and locate selected workplaces.</p>			
<p>The Sample Frame(s) should provide coverage of the targeted farms/firms so that the number of unique, in-scope survey units in the Sample Frame comprises at least 95% of the eligible target population. It should be complete, accurate and up-to-date.</p>			

Information Required	Information Provided (Type, Date, Source)	Approved by Sampler? Date
<b>1. Frame type</b> The Sample Frame may be a list of workplaces from a farm or firm registry.	Sample frame used	
<b>2. Please detail the frame fully, including:</b>		
a. Source of the frame E.g., 2010 Firm Registry		
b. Definition of survey units of the frame for each stage of sampling		
c. Data items on the frame for each stage of sampling E.g., name, address, farm/firm size, etc.		
d. Identify the variables to be used for stratification if applicable		
e. Provide survey frame counts by stratum and type of survey unit as applicable to the sample design E.g., number of farms/firms by size category/region, number of firms by industry, etc.		
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.		

**SAMPLE DESIGN**

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Sampler? Date																																																
<p><b>1. Sample Frame</b>  <b>Preferred Sample Design</b></p> <p><b>Stages in the Value chain:</b>                      The sampling frame for each stage of the Value Chain will depend on the specific activities that are included at that stage, within the context of the VC mapping. For example, the sampling units may be farms, processing firms or marketing establishments. It is also possible that a particular firm has different establishments (branches) that are involved in different stages of the VC (such as processing and marketing). In the case of large multi-sectoral firms, it may be possible to collect data for more than one stage. The stratification of each frame will also depend on the nature of the sampling units. For example, in the case of farms, if there are a few large commercial farms in addition to many small farms, then perhaps two farm size strata can be defined, and the few large commercial farms may be included in the sample with certainty.</p> <p>The sample will be distributed by size in order to achieve the desired minimum margin of error of 7.5% based on 90% confidence interval for key indicators, without compromising the minimum sample sizes required for other stratification. The final decision of how the sample is distributed across industries, size categories and locations will be made by the TTL following consultation with the Consultant. Sample sizes may be increased in order to increase the desired level of precision or to refine the degree of stratification. Note that in the case of some small strata the sample size will in some cases cover the entire population of the stratum or a large share of it. This will particularly be the case in small countries and in the processing stages of the chain.</p> <p>Example:</p> <table border="1" data-bbox="142 1528 928 1850"> <thead> <tr> <th rowspan="2"></th> <th colspan="3">Population</th> <th colspan="3">Sample (90% CI; 7.5% margin)</th> </tr> <tr> <th>Strata 1</th> <th>Strata 2</th> <th>Total</th> <th>Strata 1</th> <th>Strata 2</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>Stage 4</td> <td>15</td> <td>1,000</td> <td>1,015</td> <td>15*</td> <td>107</td> <td>122</td> </tr> <tr> <td>Stage 3</td> <td>24</td> <td>-</td> <td>24</td> <td>24*</td> <td>0</td> <td>24</td> </tr> <tr> <td>Stage 2</td> <td>-</td> <td>1,500</td> <td>1,500</td> <td>0</td> <td>111</td> <td>111</td> </tr> <tr> <td>Stage 1</td> <td>800,000</td> <td>3,00,000</td> <td>3,800,000</td> <td>120</td> <td>120</td> <td>240</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td>155</td> <td>338</td> <td>497</td> </tr> </tbody> </table>		Population			Sample (90% CI; 7.5% margin)			Strata 1	Strata 2	Total	Strata 1	Strata 2	Total	Stage 4	15	1,000	1,015	15*	107	122	Stage 3	24	-	24	24*	0	24	Stage 2	-	1,500	1,500	0	111	111	Stage 1	800,000	3,00,000	3,800,000	120	120	240					155	338	497			
		Population			Sample (90% CI; 7.5% margin)																																														
	Strata 1	Strata 2	Total	Strata 1	Strata 2	Total																																													
Stage 4	15	1,000	1,015	15*	107	122																																													
Stage 3	24	-	24	24*	0	24																																													
Stage 2	-	1,500	1,500	0	111	111																																													
Stage 1	800,000	3,00,000	3,800,000	120	120	240																																													
				155	338	497																																													



<p style="text-align: center;"><b>Technical Standard</b></p>	<p style="text-align: center;"><b>Agreed by the Survey Firm</b></p>	<p style="text-align: center;"><b>Deviation Requested from the Technical Standard</b></p>	<p style="text-align: center;"><b>Approved by the Sampler? Date</b></p>								
<p>* In the case of a stratum with a population of 30 or less, all can be selected</p> <p>Farms/Firms will be selected with probability proportional to size from the Sample Frame. The preferred measure of size is the number of Enterprises in the following employee size categories:</p> <table border="1" data-bbox="272 613 799 753"> <thead> <tr> <th>Size Category</th> <th>Number of Employees</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>1 to 10</td> </tr> <tr> <td style="text-align: center;">2</td> <td>11 to 50</td> </tr> <tr> <td style="text-align: center;">3</td> <td>51 or more</td> </tr> </tbody> </table> <p><b>Reserve Sample</b></p> <p>In addition to the initial sample, a reserve sample of extra firms must 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 1000 firms.</p> <p><u>Note:</u> E.g. 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,</p> $Total\ Sample = \frac{Sample\ Goal}{Expected\ Response\ Rate} = \frac{500}{0.4} = 1250$ <p>In this example, the total selected sample of 1,250 includes an initial sample of 500 and a reserve sample of 750.</p> <p>Please describe the country’s sampling plan.</p>	Size Category	Number of Employees	1	1 to 10	2	11 to 50	3	51 or more			
Size Category	Number of Employees										
1	1 to 10										
2	11 to 50										
3	51 or more										

**WEIGHTING**

Technical Standard	Agreed by the Survey Firm	Deviation Requested from the Technical Standard	Approved by the Sampler? Date
<p><b>1. Weighting Procedures</b></p> <ul style="list-style-type: none"> <li>a. The weighting of each country’s clean data file will be carried out by the WB Core Team.</li> <li>b. The weighting of the respondent records will be consistent with the &lt;COUNTRY&gt; probability sample design.</li> <li>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.</li> <li>d. The following weights will comprise part of each respondent record:               <ul style="list-style-type: none"> <li>- Theoretical or sample design weight - the inverse of the probability of selection at the sample selection stage;</li> <li>- Population weight - non-response adjusted sample design weight;</li> <li>- 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.</li> </ul> </li> </ul>			

## **PART 4: PROJECT IMPLEMENTATION REPORT**

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

# **ANNEX**

## **ANNEX A. Qualification and Expertise of Key Project Team Members**

Please insert Key Project Team Members' Curriculum Vitae here.

## **ANNEX B. Firm Experience**

Please describe firm experience as well as names and types of surveys previously conducted here.