Household Surveys at the World Bank:
Protocol for Data Collection, Quality Assurance and Standard Setting

1. Introduction

In October 2015, World Bank Group (WBG) President Jim Yong Kim pledged to provide technical and financial assistance to support 78 IDA countries in the implementation of a multi-topic household survey every three years. To realize this pledge requires a renewed effort on improving data, which entails continuous monitoring and evaluation to ensure that countries efficiently produce and disseminate accurate and useful data. The WBG Data Council is spearheading the effort to deliver on President Kim's pledge in an efficient and cost-effective manner. In order to address current deficiencies in household surveys, the Data Council endorsed an "*Implementation Strategy for Household Surveys 2016-2030*" in December 2015. The Implementation Strategy clearly defined the activities needed to advance the WBG household survey agenda: i) revamping the survey delivery mechanism (including a monitoring and evaluation framework), ii) establishing standards and best practices, iii) securing sustainable financing and iv) building partnerships.

As the vast majority of national household surveys are conducted by national statistical agencies which are ultimately responsible for the surveys, this document is intended to outline the role of World Bank staff in supporting the data collection efforts in client countries. The objective of this document is to guide the WBG in executing the aforementioned Implementation Strategy by setting forth a **Household Survey Protocol** which details the process by which activities are to be carried out by all responsible parties within the WBG, with the aim of increasing the efficiency and effectiveness of our internal processes in supporting WBG clients. Specifically, this Protocol identifies key actors and details processes in each of the above activity areas. More details on the Protocol can be found in the Annexes.

2. Key Actors

The key actors within the WBG who will be responsible for carrying out the activities of the Protocol are the following:

- *Household Survey Working Group (HSWG):* the forum for **reviewing priorities and standards** for survey operations;
- *Development Data Directors Group (DDD):* the entity responsible for **endorsing the HSWG's outputs** and deliberations and reporting to the Data Council;

- *Data Council Secretariat (DCS):* the unit responsible for **monitoring progress** in the implementation of the household survey protocol;
- *Poverty and Equity Global Practice (PovGP):* the frontline for **liaising with national statistical offices and coordinating technical and financial support in planning and conducting survey operations** in client countries;
- *Development Data Group Survey Unit (SU):* the center for methodological standards, technical assistance, **quality assurance, and global dissemination of household** surveys;
- *Country Management Units (CMUs) and Regional Vice Presidencies (RVPs):* the conduit of **demand and financing** for survey operations;
- *Other Global Practices (GPs) and Cross Cutting Solutions Areas (CCSAs):* the source for **technical thematic expertise** for household surveys.

3. Survey Delivery Mechanism: Proposed Project Cycle for Household Surveys

The Household Survey Protocol envisions the systematic and consistent execution of the following five phases (see Annex 1 for more details):
1. Project preparation and concept note review, if applicable;
2. Ex-ante review of survey design;
3. Survey implementation and supervision;
4. Ex-post review and monitoring of survey operations;
5. Data curation and dissemination.

3.1. Project Preparation and Concept Note Review
The PovGP (through the designated Poverty Economist and in collaboration with the national statistical agency, the Survey Unit and relevant GPs and CCSAs) will:
- **Develop the project document** for a new household survey project in the Operations Portal (in consultation with local experts, the national statistical agency, and other government officials);
- **Organize a formal review meeting**, either in-person or virtual, including at least one peer reviewer from the Survey Unit.

Deadline: project approved and operational at least 9 months prior to fieldwork start date

3.2. Ex-ante Review of Survey Design and Plan
The Survey Unit will **conduct a peer-review process** to assess the quality of the survey design and plan (including instruments, sampling, fieldwork organization, data entry and processing plans, and dissemination issues). For the peer-review process, the SU will:
- **Establish and lead a technical review panel** to evaluate the survey plans (comprising a minimum of 3 members, of which at least one will be from the PovGP);

- **Evaluate the survey design and implementation plan** submitted to the review panel by the survey TTL(s) based on a standard template (see Annex 2).

Deadline: at least 6 months prior to fieldwork start date

3.3. Survey Implementation and Supervision
The PovGP (through the designated Poverty Economist and in collaboration with the relevant national statistical agency) will:
- **Coordinate all fieldwork activities** and support our national counterparts to ensure proper field implementation and compliance with the recommendations of the review panel. This may include support towards the establishment of an in-country stakeholder committee to review the questionnaire and other survey instruments;
- **Provide technical assistance or seek technical support** for fieldwork activities from the Survey Unit, or from consultants from a roster maintained by the SU, on an as-needed basis.

The Survey Unit will:
- **Provide technical assistance** for fieldwork activities as requested by and under the overall coordination of the PovGP;
- **Maintain a roster of household survey experts**, both within and outside the WBG, who can provide support on survey design, implementation, dissemination and analysis.

3.4. Ex-post Review of Survey Operations
The Household Survey Working Group will:
- **Maintain a Survey Scorecard** on the availability, timeliness, quality, public data access and usability of household surveys, in order to monitor progress in the implementation of the President's household survey data initiative;
- **Provide regular reports** on the Survey Scorecard to the Data Council Secretariat and to OPCS.

The PovGP (through the Practice Managers and/or the designated Poverty Economist and in collaboration with the relevant national statistical agency) will:
- **Prepare and submit through the Data Deposit Portal all required documentation** including the Basic Information Document (BINFO) which provides key information on the design, coverage and methodology of a survey;
- **Provide inputs for the Survey Scorecard to the Household Survey Working Group** on a biannual basis with regards to survey pipeline and completion status.

The Survey Unit will:
- **Review the survey design and processes** based on the survey documentation (including the BINFO) submitted by the PovGP, and check the data for quality;

- **Document lessons learned and provide feedback** to TTLs for future data collection efforts;
- **Design a Survey Scorecard**, with inputs from the Poverty GP, to be used by the Household Survey Working Group in monitoring country compliance;
- **Provide inputs for the Survey Scorecard to the Household Survey Working Group** on a biannual basis with regards to survey compliance with standards, quality and usability.

Deadline: within 12 months of fieldwork completion

3.5. Data Curation and Dissemination

The PovGP (through the designated Poverty Economist and in collaboration with the relevant national statistical agency) will:
- **Submit the final data and documentation** (i.e. complete, anonymized, unit-record household survey data, metadata, questionnaire instruments, and field staff manuals) into the Data Deposit Portal[1] and publish the electronic questionnaire on the *Survey Solutions Designer Platform*[2] (if the survey is implemented using *Survey Solutions*);
- **Ensure alignment with the World Bank's Open Data policy** by engaging with countries to ensure that data are made publicly available in multiple formats and disseminated with detailed metadata and documents to maximize data use;
- **Identify all variables that could directly identify respondents** and remove or recode them before release.
- **Ensure that the documentation for all derived variables are standardized**, so that STATA do files can automatically be converted to the DDI format[3].

The Survey Unit will:
- **Review the data and documentation submissions by the PovGP and finalize the preparation of all data in accordance with international standards** for microdata documentation, dissemination and preservation (the standard for metadata production will be the Data Documentation Initiative (DDI) metadata standard);
- **Maintain the Microdata Catalog**, which serves as a global household survey database with full documentation and features for enhancing the use and usability of the microdata;
- **Provide technical assistance on developing a national data archive and dissemination system** to countries that do not have existing data archival and dissemination infrastructure, on an as-needed basis.

Deadline: within 12 months of fieldwork completion

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[1] http://microdatalib.worldbank.org/index.php/data-deposit
[2] http://solutions.worldbank.org/
[3] See the data2ddi STATA .ado file created by the Global Statistics Team for more information.

4. Standard Setting and Innovation

Methodological standards and best practices are needed to ensure the quality of data collected. WBG data collection efforts must incorporate the latest knowledge on data collection standards and technological innovation, thus continuous research is needed as data collection methods continue to evolve.

The <u>Survey Unit</u> will:
- **Develop and implement a plan of methodological research** every 3 years, through partnerships with key institutions and fundraising efforts;
- **Form a Technical Advisory Group (TAG)** that will advise the Survey Unit on methodological research priorities and provide peer reviews of outputs (see Annex 4);
- **Conduct methodological research** on priority areas in household surveys, including (*inter alia*):
  - Standards for the harmonization of survey instruments (see Annex 3)
  - Computer-Assisted Personal Interviewing (CAPI)
  - Integration of household survey data with other data sources (such as Big Data, mobile and remote sensing technologies, and administrative data)
- **Produce methodological guidelines** on the latest standards and best practices in household survey data collection, in coordination with global initiatives and partners.

All <u>GPs and CCSAs</u> will:
- **Contribute to the methodological research plan** and contribute to the efforts to conduct methodological research in their priority areas.

The <u>Household Survey Working Group</u> will:
- **Oversee the WBG methodological agenda** on household surveys;
- **Endorse recommendations on best practices** on household survey data collection prior to submission to the Development Data Directors for review and approval.

The <u>PovGP</u> (through the designated Poverty Economist and the relevant national statistical agency) will:
- **Incorporate the latest standards and best practices** (as delineated by the Survey Unit and endorsed by the Household Survey Working Group and Development Data Directors) into the national household survey data collection efforts of the national statistical agencies in client countries.

5. Building Partnerships and Capacity

Building partnerships in data production allows for increasing harmonization of data, while building capacity improves the ability of the WBG to support high-quality data collection efforts.

The <u>Survey Unit</u> will:
- **Represent the WBG** (alongside representatives from relevant GPs) in international fora on data (such as the Inter-Secretariat Working Group on Household Surveys of the United Nations Statistical Commission) in order to ensure that the WBG is in line with global efforts to improve data;
- **Coordinate with other international survey programs** (such as USAID's Demographic and Health Survey (DHS) program and UNICEF's Multiple Indicators Cluster Survey (MICS) program, among others) and provide regular reports to the Development Data Directors.
- **Conduct regional and/or country-specific training courses** on household surveys at the request of (and jointly with) GPs/CCSAs[4];
- Support the PovGP and other GPs/CCSAs in **building TTL capacity** in the techniques of preparing, implementing and administering household survey projects.

The <u>PovGP</u> (Practice Managers, in close coordination with CMUs/Practice Leads and RVPs) will:
- **Identify regional training centers and other institutions** with whom partnerships could be established for conducting capacity building activities in household surveys;
- **Support and fund capacity building activities** as part of statistical operations;
- **Contribute to the organization and implementation** of regional and country-level training events.

6. Financing

Secure and established financing is needed to ensure the sustainability of future country data collection efforts.

The <u>PovGP</u> (PMs, in coordination with the CMUs/PLs and RVPs) will:
- **Pursue IDA, IBRD and TF financing** to support household survey data collection efforts in client countries;
- **Seek and set aside funds to strengthen the capacity** of Poverty Economists in order to enable them to fulfill the responsibilities outlined above.

The <u>Survey Unit</u> will:

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[4] For example, based on the annual Living Standards Measurement Study (LSMS) household survey course or the poverty measurement course organized by the Poverty and Equity GP.

- **Seek cross-support funding** from GPs and CCSAs to support countries in the design and implementation of household surveys;
- **Pursue TF funding from donors** in order to meet internal demand for improving methodological and technological standards, technical assistance, quality assurance and dissemination for household surveys;
- **Leverage additional donor funding** to conduct field-based methodological research towards the development of standards in priority areas.

At the highest level, it will be crucial for senior management of the <u>World Bank Group</u>) to (1) **promote direct support from the Central Budget** to strengthen the technical capacity of the Survey Unit and the PovGP through the recruitment of additional staff in order to meet the increased data demand, and (2) **incorporate into the W process and WPA allocation** greater emphasis on household surveys on a long-term basis, with specific amounts set aside for the PovGP and the Survey Unit toward supporting the World Bank household survey agenda.

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ANNEXES

ANNEX 1. Project Cycle for Household Surveys

ANNEX 2. Sample Review Template

ANNEX 3. Multi-topic Household Survey Instrument

ANNEX 4. Technical Advisory Group

ANNEX 1

PROJECT CYCLE FOR HOUSEHOLD SURVEYS: DETAILS AND REQUIREMENTS

1. <u>Project Preparation and Concept Note Requirements</u>

In addition to the standard content (objectives, activities and components, results, risks), the Concept Note should identify:

- the country's needs for technical assistance and capacity building in line with the data assessment done as part of the Systematic Country Diagnostic (SCD), if one exists,
- sources of financing, amounts committed from each source, financing gaps (if any), and expectations of future financing, and
- a staffing plan for delivering technical assistance (based on the task team's assessment of the survey managerial and analytical capacity of the country NSO).

2. <u>Ex-Ante Review of Survey Design and Plan</u>

Each planned survey will go through a peer-review process to assess the soundness of the methodology and ensure compliance with a set of standards as agreed by the HSWG. The TTL will submit documents containing information on the main components of the planned survey, in addition to a review template (see Annex 2), based on the below specifications:

Survey Components	Components: Required Information
Detailed survey timeline	Detailed timeline of pre-fieldwork preparatory activities, fieldwork, post-fieldwork data preparation for survey reporting and dissemination, survey data analysis in support of the survey statistical abstract, and dissemination of statistical abstract, data and documentation. The preparatory activities should include the periods allotted for questionnaire design, sampling design, procurement, development of data entry/processing and quality control platform, a minimum of two in-country pilots, and field staff training.
Questionnaire instruments	Instruments are to be designed with the objective of intra-regional/sub-regional harmonization and cross-country comparability where possible. Particular attention will be placed on describing the methodology and data requirements for measuring poverty, including the methods for collecting consumption expenditures and/or income. Any significant

	changes in the questionnaire from the previous survey in the country should be accompanied, whenever feasible, by a study to capture and document the effect of the change (in particular regarding the collection of the consumption aggregate). Instruments will be evaluated with respect to: (a) validated best practices anchored in methodological validation and accepted international standards, (b) country data needs, and (c) data needs tied to the SDGs and other global and regional initiatives.
Sampling design	Specifics should be provided on the sample design, including the spatial and temporal representativeness of the sample as well as the individual(s) who will be responsible for the sampling design and the required inputs into this process. Detailed information on the adequacy of the sampling frame will be provided. If there will be a listing of households in sampled enumeration areas, information on household listing activities should also be provided.
Fieldwork organization and staffing	Specifics should be provided on the length of the fieldwork period, the use and composition of mobile teams, the number of visits to the sampled households, the potential split or re-administration of questionnaire instruments or modules across multiple visits, seasonality, and respondent selection protocols.
Data entry, and processing	Specifics should be provided on type of data entry process chosen, and the reasons for the choice. For non-CAPI surveys, data entry operators should be embedded into mobile field teams and form the first line of automated data checking and verification, before the data and the questionnaires are sent to the headquarters for second data entry and verification. Double data entry (full or partial) is recommended. For CAPI surveys, the recommendation is to use WBG *Survey Solutions* CAPI software where possible.

Quality control	Specifics should be provided on the methods to be used for quality control.
	These methods should include supervision by the field supervisor, headquarters monitors and occasional field visits from headquarters monitors. There should be constant contact between the field teams and the headquarters monitors. In addition to the personal supervision, there should be the use of mechanical supervision through the data entry software chosen for the field work whether through CAPI or embedded data entry operators in the field team.
Dissemination, documentation and data access	A data dissemination and documentation plan and a microdata access protocol must be submitted. This plan should also include how the National Statistical Office plans to disseminate the data or how the World Bank can assist the NSO in developing an archive and dissemination function. The dissemination and documentation plan should include instructions and checklists that ensure the entire survey process is documented. The Data Documentation Initiative (DDI) should form the basis for ensuring all elements are systematically documented. Documentation should include a Basic Information Document, with survey manuals, questionnaires, reports, methodological documents and survey response rates, as well as information that would allow reproducibility of any derivations produced in preparation of data release.
	The data access protocol should include information on the method, audience and terms of use for data distribution. Where microdata are to be publicly released by the World Bank, a description of how the released microdata will be treated to ensure confidentiality and written consent from the agencies involved must be provided.

3. Survey Implementation and Supervision

Two in-field pilots of the questionnaire instruments and the draft data entry, processing and quality control platforms are recommended. In the case of a household survey based on CAPI, there will be an additional in-office testing/piloting phase that will precede the in-field pilots and will continue throughout the field staff training period, as the CAPI application will be utilized in training exercises.

The first in-field pilot should take place after the sample selection, at approximately 2 months prior to deployment. The training for the pilot should run for a minimum of 1 week, followed by 2 weeks of field piloting. The second in-field pilot can be integrated into the field staff training, which is expected to run during the last 4 weeks prior to deployment. During this time, final changes to the questionnaire instruments and the data entry, processing and quality control framework may be undertaken.

4. **Ex-Post Survey Implementation Review**

The Survey Unit will conduct an ex-post review of the final survey design and processes. The objective of the ex-post review is to document lessons learned and provide feedback for future data collection efforts. The review will be in part based on the Basic Information Document produced as part of the survey documentation.

Basic Information Document (BINFO)

A BINFO must be prepared for each survey and accompany the release of the dataset. The BINFO describes the design of the survey, outlines its coverage for potential users, and provides detailed information on the methodology used to implement the survey. Ensuring the preparation of the BINFO will be responsibility of the TTL, who may request the support of the Survey Unit if needed. Sample BINFOs are available at http://go.worldbank.org/WFNY30UTJ0.

The BINFO should contain, at a minimum, the following information:

i.   **Background information**: The BINFO should contain background information on the survey such as who carried out the survey, why the government chose to do the survey, was this survey done as part of a series of surveys (panel or cross section), what is the main purpose of the survey, etc.

ii. **Questionnaire content:** The BINFO should identify all questionnaire instruments used in the survey and outline the content contained in each. It should explain how the current questionnaires compare to any earlier similar surveys (e.g. panel data, and at what levels (national, urban, rural, regional) can the surveys be compared). The BINFO should also include any codes not found already printed in the questionnaires such as industrial codes, plant codes, animal codes, product units of measure, etc.

iii. **Sample design:** The BINFO should provide detailed information on the design of the sample as well as the implementation of the sampling design in practice. It should also provide information on weighting and expansion factors data and methodology.

iv. **Field work:** The BINFO should provide detailed information on all field work processes, including the training of field staff, organization of field work, and field work monitoring and evaluation, the dates on which the field work occurred, total number of dwellings visited, refusal rates, total number of dwellings, households and individuals included in

the final sample, problems that occurred during the administration of the survey (strikes, inclement weather, inability to enter parts of the country).

v. **Dataset structure:** The BINFO should provide a prospective user with all the information needed to use the data, including the file structure, information on how to merge the datasets, weighting factors, and any anomalies in the data. Notes should be provided on the quality of the data including how missing values were recorded, and how the data were cleaned. Any edits to the raw datasets must be fully documented to enable users to reproduce the final data/results. Notes should also be included on how to match the data to earlier surveys if the current survey is a panel. Finally, notes should be included on any other information without which users would have difficulty analyzing the data.

vi. **Processes for constructed variables:** The BINFO should explain the process used and all assumptions made to construct any constructed variables such as consumption or income aggregates, and should provide relevant information on anthropometrics such as z-scores, etc. All programs (in Stata or SPSS) will also be made publicly available.

vii. **Data access policy:** The BINFO should outline the data access policy, provide information on how to obtain copies of the documentation and data, and detail all of the documentation available on the survey.

Household Survey Monitoring System and Scorecard

In order to monitor activities and compliance with standards, the Household Survey Working Group, with inputs from the PovGP and the Survey Unit, will maintain a monitoring system based on a Survey Scorecard to track countries' compliance in terms of the availability, timeliness, quality, public data access and usability of household surveys. Part of the system will include recognition of the needs and the requirements of the National Statistical Organizations. The Household Survey Working Group will be responsible for providing regular reports on the Survey Scorecard to the Data Council Secretariat and to OPCS.

Practice Managers from the PovGP will be responsible for updating and reporting to the Household Survey Working Group on a biannual basis details of each completed survey and a list of surveys in the pipeline for each of their region of competence.

The Survey Unit will be responsible for designing the Survey Scorecard system – to be endorsed by the Household Survey Working Group and Development Data Directors – and reporting to the Household Survey Working Group on compliance in terms of quality and accessibility of the completed surveys, as reported by the PovGP on a biannual basis.

5. **Data Documentation And Dissemination**

Depositing

A Data Deposit Portal (http://microdatalib.worldbank.org/index.php/data-deposit) is provided by the Survey Unit's Microdata Library for the submission of all information that make up the documentation package. The Data Deposit Portal provides a detailed template for the submission of metadata and allows for all survey instruments, reports, manuals and data to be uploaded for final processing by the Microdata Library curation and dissemination team. Entry of information into the Data Deposit Portal is encouraged to begin at the commencement of the survey process and should be completed as the survey progresses.

The complete, anonymized, unit-record household survey data, the metadata, the survey instruments, such as questionnaires, and field staff manuals, must be deposited by the TTL in the Data Deposit Portal at least 1 month prior to the dissemination date. If the CAPI-based survey is implemented using *Survey Solutions*, the electronic questionnaire should also be made public on the *Survey Solutions* Designer Platform. As the anonymization procedure may involve some information loss (suppression or aggregation of variables), a copy of the raw data (unedited, non-anonymized) should also be deposited for preservation purposes (to be stored in a "data vault").

Poverty Economists and other data producers are encouraged to review the Microdata Library offline metadata form: http://microdatalib.worldbank.org/files/data-deposit-form_4.7.2015_internal.pdf at the beginning of the project to ensure all information is systematically collected and ready for deposit when the time comes. This offline form or the completed online form available when depositing directly through the Data Deposit Portal may serve as the documentation basic information document.

Documentation

The Microdata Library Team of the Survey Unit is responsible for the documentation of all data deposited. Documentation will take place in close collaboration with the TTL or data producer to ensure the accuracy of all information. The Microdata Library team will prepare all data in accordance with international standards for microdata documentation, dissemination and preservation. The standard for metadata production will be the Data Documentation Initiative (DDI) metadata standard.

Dissemination

The public dissemination of the complete, anonymized, unit-record household survey data, metadata, questionnaire instruments, field staff manuals and reports will be through the World Bank Microdata Catalog and the National Statistics Office (NSO) data dissemination platform (if one exists) within 12 months of completion of fieldwork. This should be noted explicitly as part of the loan/grant agreements signed between the World Bank and the client countries. Staff

should not impede publication of the data to preserve their own or collaborators publication rights.

Anonymization

There are ethical, and in the country context, often legal obligations that require that the confidentiality of respondents is protected. All data should be anonymized before release to control the risk of identification of respondents. By its nature, the anonymization process results in information loss. Anonymization should be applied in such a way that information loss is limited to ensure preservation of the usefulness of the data while achieving acceptable levels of protection for respondents.

The producers of the data (TTLs) are best placed to assess which variables present a risk for direct or indirect identification of respondents. TTLs will be responsible for identifying all variables that could directly identify respondents and for removing or recoding them before release. Each survey and the country context will be different but the following serves as examples for what constitutes direct identifiers and which should be removed or recoded:

- Names
- Telephone numbers
- National Identification Numbers
- Biometric Identifiers
- Exact GPS locational information for households

Data producers/TTLs should also identify indirect identifying variables that are sensitive and variables that could, when combined with each other or other external datasets available in the country, lead to disclosure. Treatment of these variables can be achieved through a number of methods, ranging from omission of the variable through to recoding, suppression of records or methods that add uncertainty. The Survey Unit through the Microdata Library Team and the LSMS teams can provide advice on suitable methods.

Open Data Access Policies

Ensuring public availability of the data is consistent with the open access policies of the World Bank. All data collected within this survey system should be publicly available in multiple formats and disseminated with detailed metadata and documents to maximize data use. In countries with restrictive data access policies, we should engage with countries to demonstrate the substantial benefits and increases to return on investment in making data public. Where feasible, investments made in survey collection should be preconditioned on public release of the data. We propose data release within twelve months of the completion of data collection under the least restrictive access conditions allowable.

Data disseminated via the World Bank Microdata Library Catalog (http://microdata.worldbank.org) will follow one of the predefined Terms of Use as described on the website: http://microdata.worldbank.org/index.php/terms-of-use

The default Terms of Use for distribution by the World Bank will be Direct or Public Use access. More restrictive access policies will be allowed only where there are particular concerns about sensitivity of the data or where countries require it.

ANNEX 2

SURVEY DESIGN AND PLAN REVIEW TEMPLATE

Name of the Project with which this survey is associated	
Project Number	
Survey Name	
Country	
Unit	
Type of country *(choose one)*	1. IDA 2. IDA blend 3. lower middle income 4. upper middle income
Task Team Leader	
Sector Manager	
Objectives of the survey *(in order of importance)*	1. 2. 3.
Background information on the project *(attach relevant documentation if available)*	
4-5 most important issues/indicators that must be included in the household survey *(list and provide a brief description of each)*	1. 2. 3. 4.
Additional information to be collected in conjunction with the household survey *(i.e. community, price, school, health facility, etc.)*	
Other existing relevant government, Bank, donor or NGO-sponsored household surveys *(e.g. national household surveys, school census, etc.)*	

Questionnaire/survey instruments	
Does a draft questionnaire exist? *(attach all questionnaires)*	
If yes, has the questionnaire been piloted?	
Who is responsible for the design and piloting of the questionnaire?	
Have interviewer and/or supervisor manuals for field staff been prepared? *(attach all staff manuals)*	
Has comparability of the questionnaire with previous surveys in the country been taken into account?	
Has comparability of the welfare aggregate with previous surveys in the country been taken into account?	
Sample	
Expected sample size *(number of household or number of individuals)*	
Is the sample already designed? *(if yes, attach documentation)*	Yes No Partially
If no, provide information on available sample frames	
If no, has a sampling expert been identified?	
If no, do you need assistance preparing the TOR?	
Has comparability of the sample with that of previous surveys in the country been taken into account?	
Field Work: Firm	
Do you have a TOR for the field work?	
If no, do you need assistance preparing the TOR?	

Do you know who will field the survey?	Yes No
If yes, who are you working with to field the survey? *(national statistical office, another government data collection or research group, a private firm)*	
If using a private firm and have already identified one, provide information on the capacity and experience of the firm in carrying out similar surveys	
If you plan to use a private firm but have not identified one, do you need assistance in identifying a firm?	
When do you plan to start field work, by when is the data needed? (a*ttach formal timeline*)	
Are there any baseline data available? Are there plans to collect baseline data or other data that may be relevant?	
Has comparability of the fieldwork protocols with those of the previous surveys in the country been taken into account?	
Budget/funding	
Any budgetary issues? (*attach total survey budget)*	
Is funding already secured?	Yes No Partially
Identify sources of funding	
Dissemination and documentation strategy	
What is your plan for archiving and dissemination of the documents and datasets?	

Please check any of the documents that you are submitting in addition to this form:	□ Project concept note or similar □ Questionnaires □ Sampling design □ Staff manuals □ Timeline □ Budget □ Dissemination and documentation strategy □ Data access protocol □ TORs to be reviewed □ Other (specify _____)
Please add any other information that you think could be relevant.	

ANNEX 3

MULTI-TOPIC HOUSEHOLD SURVEY INSTRUMENT

As part of the new WBG approach to support household surveys, we set forth here the core features of a proposed multi-purpose survey instrument, towards improving existing country survey programs. The approach to the design of the improved multi-topic household survey instrument is rooted in the following principles:

- *Minimum Common Denominator*: the survey instrument should establish a minimum common denominator that will be applicable to all countries, to ensure that a minimum standard of best practices is met worldwide.
- *Fitness-for-purpose*: while there are many purposes for conducting household surveys, this particular survey system should be aimed at <u>tracking</u> and <u>understanding</u> poverty (in its many dimensions) and shared prosperity.
- *Cost-effectiveness*: value added should be increased through integration of topics in a single survey, repurposing of existing surveys where possible, and increasing the usability and accessibility of the data. This has been made easier to achieve in recent years through the use of new technologies such as GPS as well as the increase in the availability of Big Data.
- *Scalability*: the survey system should take into account affordability, as well as technical feasibility and country buy-in, all of which are indispensable to scaling up survey operations.
- *Comparability*: the survey system should recognize the importance of harmonization across countries based on accepted international standards (ideally promoting a harmonized core set of information, with an eye to different starting point and differences in policy questions/issues), as well as the importance of ensuring comparability over time within a given country. Given that trying to maintain comparability over time can result in path dependency, the household survey program should propose small methodological experiments to demonstrate the benefits of change, when appropriate.
- *Integration* within NSS: the survey system must prioritize integration within the existing national statistical system and the NSDS. To the extent possible, the survey should build on existing household surveys in countries and not duplicate efforts as part of the same NSS. Overall, the goal will be to shift countries towards common standards, while taking into account existing practices.

Based on these criteria, the key features of the proposed survey instrument are detailed below, followed by Table 1, which outlines proposed core questionnaire modules (and associated units of observation and reference periods):

Frequency
Firstly, the survey should be conducted every 3 years at a minimum. This will ensure a minimum common standard in terms of the frequency of information that countries will need in order to monitor and understand poverty in its many facets.

Multi-topic
While specialized surveys have their specific uses, a multi-topic survey that integrates a variety of issues into a single survey instrument allows for richer analysis that can establish linkages across the many components of household welfare. We therefore propose a multi-topic survey instrument encompassing economic activities, demographics, welfare and other sectoral information of households. The survey should additionally go beyond a money metric of poverty to recognize its multidimensionality, by covering a wide range of topics that deal with the dynamics of poverty (such as per capita consumption, cash and non-cash income, savings, assets, food security, health and education, vulnerability, empowerment, and social protection). Finally, the survey must go beyond measuring poverty to capture its determinants and correlates, as well as other indicators of relevance to the WBG strategy.

Consumption expenditure
While hardly anyone would dispute that poverty is a multidimensional phenomenon requiring more than a money metric such as expenditure or income, a monetary measure is required to monitor SDG1 and the Twin Goals. Furthermore, its components – these being the different consumption expenditure items or income sources – are still needed to gain a full understanding of poverty and its root causes. Capturing consumption expenditure is preferable to income, particularly in developing countries where a considerable portion of economic activity often occurs in the informal sector and many rely on their own production for subsistence. In capturing consumption data, food quantities and unit values should also be collected. This should also serve as an opportunity to increase the harmonization of methodologies for the collection of consumption data.

Integrated
Aside from integrating key topics as part of a multi-purpose framework, the survey must be integrated with other data sources in order to maximize the reusability of the data, which can be done either through content (to promote survey-to-survey imputation), geo-referencing (to ensure linking with other spatial data sources) and/or sample design. Ideally, the survey would have thematic overlapping with the most recent population census to allow for small area estimations.

Geo-referenced
All survey households, as well as facilities and other key locations, should be geo-referenced. The geo-referenced locations can then be paired with third party geospatial ecosystems data for the purpose of disseminating, alongside unit-record raw data, a rich dataset of geovariables,

which can be created by combining georeferenced plot and household locations with various geospatial databases in order to provide information such as distance from the household to key locations (roads, markets, etc.), climatology, landscape typology, soil and terrain, and crop season parameters. Geovariables preserve confidentiality and can be disseminated publicly, as they provide information relevant to the household location without necessitating the direct release of the geographic coordinates. Furthermore, they are created using geographic coordinates that have been randomly offset from the household location, preventing data users from being able to identify the household location through the use of these imputed variables.

Sample
Being a multi-purpose survey, the sample for each survey should be calculated on multiple objectives, and recognize the importance of restricting non-sampling errors and ensuring sustainability, particularly considering the low capacity of data-deprived countries. We suggest that the sample for the proposed survey should be representative at the following levels: national, urban/rural, other urban, main regions (NUTS 0.5). The minimal expected sample size should be calculated with respect to the value of the expected coefficient of variation (for the welfare aggregate and other key variables of interest) by the number of reporting strata. Small area estimation should be used for higher resolution estimates (NUTS 2 and 3), which can build on ongoing World Bank research on poverty prediction.

Individual (Gender) Disaggregation
Anchored in the data needs highlighted by the Bank's evolving Gender Strategy, the survey should complement the tradition focus on collect individual level data on education, health and labor, with an expanded focus on collecting individual level data on time use, ownership of and rights to physical and financial assets, and intra-household control of income sources. The information should be solicited, to the extent possible, through individual-specific interviews, limiting to the extent possible reliance on proxy respondents. Given the variation across priority areas in terms of cross-country availability of data and the existence of validated approaches to questionnaire design and field implementation, the required investments in data production and methodological research to evaluate the relative accuracy, scale-up feasibility and cost-effectiveness of old and new methods in tandem with gold-standard practices will vary by priority area.

Computer-Assisted Personal Interviewing (CAPI)
We propose that CAPI be introduced as part of the survey system, where possible, given country and capacity constraints. Introducing CAPI can dramatically reduce the time lag between data collection and data analysis. Since the need for manual coding of the responses recorded with pen and paper is greatly reduced and data is validated during the data collection process, the information is ready for statistical analysis as soon as surveying is completed. Additionally, using tablet devices for interviewing yields many other benefits, such as reducing the number of

coding errors by incorporating validation checks that make it impossible to enter values outside a given range. Supervisors may also view and check the collected information as soon as the enumerators finish the interviews, together with possible error reports. Automated routing reduces the incidence of missing data. In addition, changes in the structure of the questionnaire can be instantly reflected on the interviewers' devices, allowing for last-minute updates or error corrections. Finally, CAPI technology allows for greater ease in conducting surveys with a dynamic structure, where the questions to be asked vary depending on the answers given by the respondent.

Over the past several years, the World Bank has spearheaded the development of a standardized (yet customizable) CAPI software called *Survey Solutions* to empower client countries to independently implement surveys on Android tablet computers. Technical assistance under the proposed survey work program to a country will include assessing whether the country has the capacity to launch a survey with a CAPI system. If so, the program will assist with the full development of the survey instruments in the Survey Solutions software in order to empower client countries to sustainably implement CAPI surveys going forward.

Technology
The proposed survey instrument should make the best possible use of existing technologies such as GPS, the use of mobile phones for high-frequency data collection, satellite imagery, and remote sensing, to name a few. Integrating these technologies into data collection efforts can greatly increase the usability and thus the cost-effectiveness of data.

Metadata
Metadata and paradata will be systematically collected during the data collection process, to potentially enrich the resulting analysis as well as to provide researchers with critical information on the data collection process.

Public access
Ensuring public availability of the data is consistent with the open data access policies of the World Bank. All data collected within this survey system should be made available in multiple formats and disseminated with detailed basic information documents to facilitate data uptake. In countries with restrictive data access policies, we must engage in a long-term manner and make public release of the data a precondition for investment. We propose data release within twelve months of the completion of data collection.

Table 1: Proposed Core Questionnaire Modules & Associated Unit of Observation & Reference Period

No.	Module	Unit of Observation	Reference Period
1	**Household Identification**	Household	N/A
2	**Household Roster**	Individual	N/A
3	**Education***	Individual	Varies by Inquiry
4	**Health**	Individual	Varies by Inquiry
	Employment*		
5c	ILO Screening Questions on Economic Activity	Individual	Last 7 Days
5b	Principal Wage Employment	Individual	Last 12 Months
5c	Secondary Wage Employment	Individual	Last 12 Months
6	**Housing**	Household	Varies by Inquiry
7	**Durable Goods/Assets**	Asset Type	Varies by Inquiry
	Food Consumption	Food Item	
8a	Food Consumed In the Household	Food Item	Last 7 Days
8b	Food Consumed Away From the Household*	Individual	Last 7 Days
9	**Food Insecurity Experience Scale (FIES)**	Household	Last 12 Months
	Non-Food Expenditures		
10a	Non-Food Expenses	Non-Food Item	Last 7 Days
10b	Non-Food Expenses	Non-Food Item	Last 30 Days
10c	Non-Food Expenses	Non-Food Item	Last 3 Months
10d	Non-Food Expenses	Non-Food Item	Last 6 Months
10e	Non-Food Expenses	Non-Food Item	Last 12 Months
11	**Non-Agricultural Enterprises**	Enterprise	Last 12 Months
12	**Social Protection Program Participation & Benefits**	Program Type	Last 12 Months
13	**Non-Labor Sources of Income**	Income Type	Last 12 Months
14	**Shocks and Coping Strategies**	Shock Type	Last 12 Months
	Crop Production		
15a	Farm Organization	Parcel	By Season or Last 12 Months
15b	Production Expenditures	Input/Expenditure Type	By Season or Last 12 Months
15c	Crop Cultivation, Production & Utilization	Crop Type	By Season or Last 12 Months
16	**Livestock Ownership**	Animal Type	Last 12 Months
17	**Livestock Production**	Animal Product	Last 12 Months
18	**Agricultural Equipment Ownership & Utilization**	Equipment Type	Last 12 Months
19	**Child Anthropometry**	Individual (0-59 Months)	N/A

Note: *indicates questionnaire modules in which age cut-offs for individual-level inquiry need to be established.

ANNEX 4

TECHNICAL ADVISORY GROUP

Identification of priorities and quality assurance of the program of methodological research will be guided by a Technical Advisory Group (TAG), comprising top-rated household survey scientists and practitioners.

The Survey Unit and the Poverty and Equity GP will be responsible for implementing the WBG methodological agenda on household surveys. This involves supporting innovations in the collection of survey data, primarily through (i) household survey experiments on more accurate and cost-effective ways of collecting information from households, (ii) the improvement and harmonization of data collection instruments, (iii) the continued development of tools such as the *Survey Solutions* CAPI platform to increase the speed and quality of data collection, (iv) validation efforts exploring the scope for the increased use and integration of mobile technology, Big Data tools, and remote sensing within household survey operations, and (v) the production of methodological guidelines to be disseminated in various forms.

Under the overall guidance from the TAG, the Survey Unit will submit to the Household Survey Working Group (HSWG) and the Development Data Directors (DDD) a work program for achieving short-term goals as well as a longer-term solutions in the development of methodological standards for household surveys. The work program will be organized into three-year cycles. At the end of each three-year cycle, the HSWG may consider potential changes to the proposed work program. Upon endorsement by the HSWG, the proposal will go through revision and review at the level of the DDD, and in turn the Data Council. The program for methodological and technological innovation will be implemented by the Survey Unit, in coordination with the Poverty and Equity GP. National Statistical Organizations (NSOs) will be relied upon for the implementation of field-based methodological household survey experiments, in order to facilitate their adoption of validated methods and technologies.