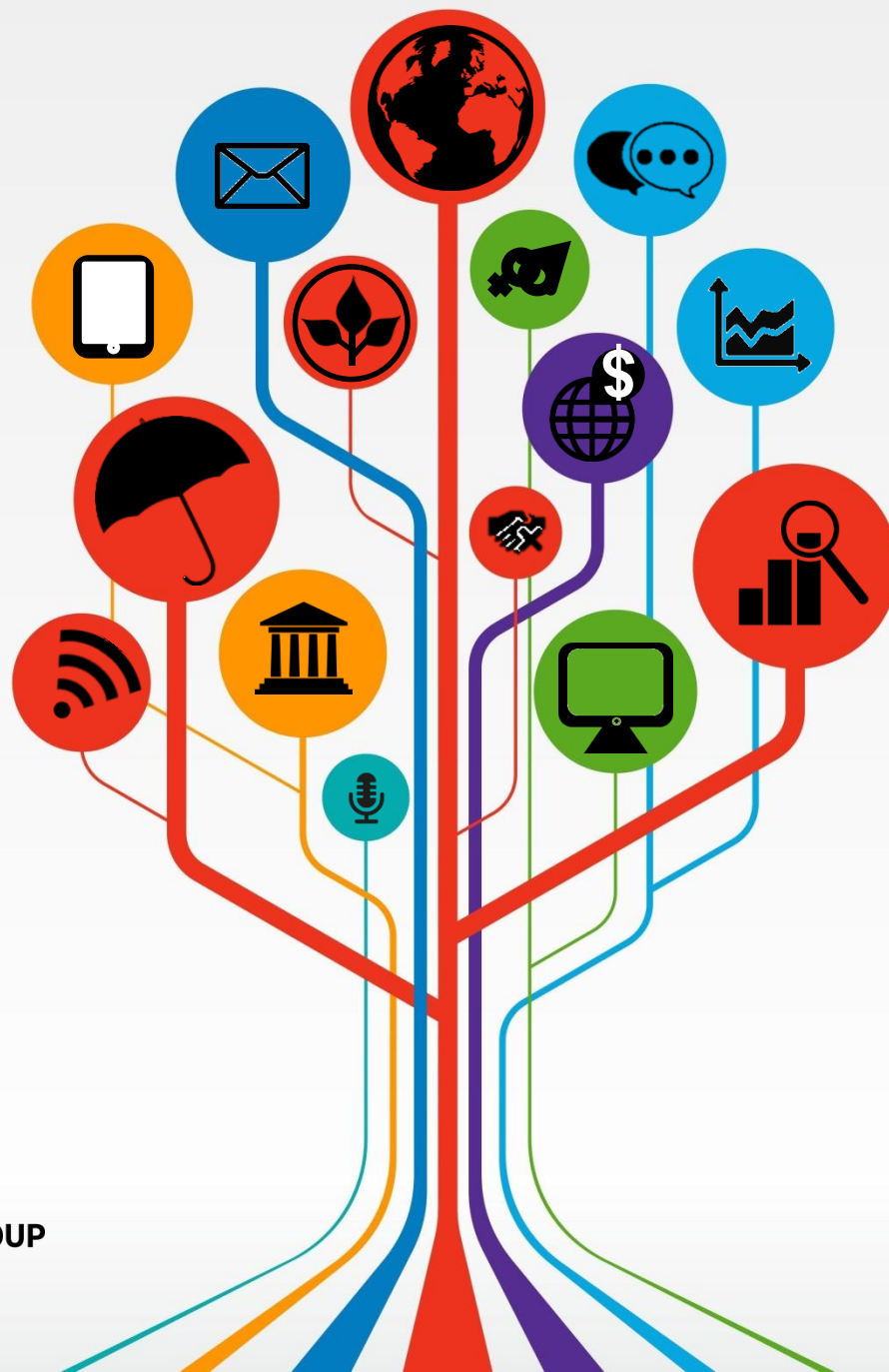


Working with Survey Firms

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choose your own adventure

Who is paying for the data collection?

World Bank

Client

Grant managed by
partner organization
(e.g. University)

WB manages
procurement

Client manages
procurement

Partner org manages
procurement, often
subcontracts

e.g. Trust Fund
managed by DIME

e.g. M&E component
of project budget

e.g. 3IE grant to UC
Berkeley,
subcontracted to IPA

World Bank-financed

- Happens when full funding for IE (including surveys) sits with World Bank
 - E.g. through Bank-executed trust fund (Global Agriculture and Food Security Program)
- Advantages from Research Team perspective
 - Full control over quality and cost
 - More control over timeline
 - Direct communication channel with firm
 - Ability to take direct action if problems arise
- However, project team has less ownership

Client-financed

- When data collection financed by project budget (e.g. M&E)
 - Most common for IEs supported by i2i Trust Fund
- World Bank Research Team role
 - Provides technical assistance (TA) on TORs and review of deliverables
 - Estimates survey cost for budgeting purposes
 - WB TTL may ask for clearance from IE TTL before giving no objection on contract
 - FC supervises field work and reports any issues to client/Govt project coordinator

Third-party financed

- Survey funded by a grant to an external research partner
 - E.g. International Growth Center grant to IPA
 - If to university, often subcontracted to implementing organization
 - e.g. 3IE grant to UC Berkeley, subcontracted to IPA
- External partner manages grant reporting process
 - Contract (and subcontract) management
 - Submission of all grant requirements
- World Bank RT role
 - Reviews grant requirements (e.g. reports) and provides comments
 - Manages all communication with government/client team
 - FC does field supervision and reports any issues
 - If problems, dialogue managed by either WB team or external PI (not FC)

Timeline (best case scenario)

Stage	Estimated time required
Due diligence: research local survey firm options	2 weeks
Prepare detailed Terms of Reference (TORs)	2 weeks
Publish request for Expression of Interest (rEOI)	1 day
Firms submit expression of interest (EOI)	3 weeks
Shortlist firms based on EOI	1 day
Publish TOR and call for proposals	1 day
Shortlisted firms submit technical and financial proposals	3 weeks
Evaluation of technical then financial proposals	1 week
Negotiations and award of contract to selected firm	1 week
Contract published and signed	1 week
TOTAL PROCESS	~ 3 months

plan fieldwork before writing TORs

- **Why is this important?**
 - Need to estimate survey cost at start of contracting process
 - Thinking through details will help assess feasibility of technical proposals
 - Expectations may be added to TORs to guide firms' proposal development
- **What do you need to consider?**
 - # surveys/enumerator/day
 - add 15% of days as buffer, account for public holidays, weather
 - # surveyors and teams
 - Keep total size manageable (if possible, <35 enumerators total, 4-5 per team)
 - Logistics
 - How will enumerators get to survey areas? Are cars needed, or is public transport viable?
 - # days for enumerator training?
 - Depends on complexity of survey instrument, typically no less than 1 week
 - Cost of line items
 - Estimate based on past surveys or knowledge of local rates

Terms of Reference (ToRs)

- Scope of work, responsibilities, required activities & deliverables
- Details are ESSENTIAL. Expectations and standards must be clearly spelled out, with consequences for non-compliance
 - Otherwise even if detect fraud may not be able to do anything!
- Use DIME template as a model, and adapt it to your project

Terms of Reference (ToRs)

Scope of work for firm	Provided by DIME
<ul style="list-style-type: none">• Obtain required permits & ethical clearances• {Translate instruments}• {Data Pilot}• Create field procedure plan including timeline, travel plan of enumerators• Create survey/questionnaire manual/training manual• Recruit, train, contract field staff• Prepare survey respondent tracking protocol• Pilot tracking protocol• Manage all aspects of field work• Pre-test survey instrument• Prepare back check strategy• Do back checks (independent team)• Provide tablets and other materials• Prepare weekly progress report	<ul style="list-style-type: none">• Design & program questionnaire• Provide sample, with detailed instructions for replacement• Host SurveyCTO server• Check data quality and provide feedback during data collection• Clean and analyze data

preventing fraud

The Survey Firm will be considered to have failed to comply with this contract if, based on a random and representative sample, it is determined that **1% or more of the questionnaires submitted were filled without the Firm having visited the trader/market.**

The research team will use its right to conduct its own checks on 5 to 10% of the markets. **If the survey data do not meet the research team's requirements in terms of data integrity, the research team will reserve the right to request a repetition of the work or the option of not paying for the work done (being reimbursed for any initial payment).**

deliverables

- Deliverables should be detailed and include intermediate outputs
- Payment structure matters for quality control → formal opportunity to provide feedback, stop work if needed
 - Bad: 20% on contract signed, 80% on final report submission
- Review of deliverables done by TTL with advice from FC/RA

Deliverables	
1	Evidence of clearances, insurances, and permits for implementing survey
2	Pilot dataset, final translation of survey instrument
3	Field Procedure Plan
4	Roster of recruited field staff and evaluation report; final training materials
5	Weekly field Progress Reports; Corrections resulting from consistency checks
6	Final raw dataset and final field report

example payment schedule

Activity	Output	Date
1	All required local permits and clearances	May 4, 2019
2	Field Procedure Plan	May 4, 2019
3	Final training curriculum and materials.	May 4, 2019
4	(a) Weekly Progress Reports (b) Final dataset in Stata format (c) Final field report	June 15, 2019

Payment arrangements

- 10% upon contract signing;
- 20% on approval of deliverables for Activities 1-3
- 70% upon approval of deliverables for Activity 4

Evaluation of firms

Browser address bar: [https://econsult2int.worldbank.org/wbgec/protected/index.html#\\$h=1557240205202](https://econsult2int.worldbank.org/wbgec/protected/index.html#$h=1557240205202)

Browser tabs: WBG eConsultant2, Global Corporate Solutions Fit..., Procuring a Survey Firm - DIM...

Welcome, Nausheen Khan | Sign Out

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Dashboard Selection Business Opportunities Options

MY ARCHIVED SELECTIONS

1 of 1 3 records

Selection #	Title	Type	Method	Status	Creation Date	Closed Date ▼
[REDACTED]	First follow-up survey for the project [REDACTED]	Firm	Competitive	Selection Complete	25-Oct-2017	25-Oct-2018
[REDACTED]	Deepening the Jobs Impact of the [REDACTED]	Firm	Competitive	Selection Cancelled	14-May-2018	30-Jul-2018
[REDACTED]	First Follow Up Survey for the [REDACTED]	Firm	Competitive	Selection Complete	30-Apr-2018	19-Jul-2018

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Evaluation of firms



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Dashboard Selection ▼ Business Opportunities Options



Refresh

PENDING TASKS	SELECTION SUMMARY	SELECTION DETAILS
<input type="checkbox"/> No Pending Tasks	Selection #: [REDACTED]	REQUEST FOREXPRESSION OF INTEREST
AVAILABLE OPTIONS	Title: [REDACTED]	REQUEST FOR PROPOSAL
<input type="checkbox"/> No Available Options	Phase: [REDACTED]	PROPOSALS
SELECTION TEAM	Status: [REDACTED]	TECHNICAL EVALUATIONS
<input type="checkbox"/> TTL / Task Manager	Type: [REDACTED]	FINANCIAL EVALUATIONS
<input type="checkbox"/> Selection Facilitator	Method: [REDACTED]	EVALUATION SUMMARY
<input type="checkbox"/> Procurement Specialist	Estimated Amount: [REDACTED]	SELECTION ATTACHMENTS
<input type="checkbox"/> Sector Manager / Approver	Organization: [REDACTED]	SELECTION APPROVALS
<input type="checkbox"/> Legal Representative	TTL Location: [REDACTED]	
<input type="checkbox"/> Transaction Specialist	Department: [REDACTED]	
<input type="checkbox"/> Evaluator	Expertise: [REDACTED]	
<input type="checkbox"/> Budget Manager	FIRMS	
<input type="checkbox"/> View Only	DISCUSSIONS	

example technical scoring matrix

No.	Criteria	Sub Criteria	Scoring (%)
1	Demonstrated knowledge and experience in conducting complex surveys in Rwanda	1.1. Strong capacity and experience in implementing complex surveys preferably in Rwanda and in agricultural markets	10
		1.2. Strong capacity and experience in using SurveyCTO application for electronic template development, data collection and management;	15
		1.2. Previous experience working on impact evaluations	5
	Sub total		30
2	Proposed technical approach	2.1. Clear implementation strategy for the survey, including details on field plan and logistics	10
		2.2. Strong protocols for data quality	15
		2.3. Capacity to provide android tablets with all the required accessories, effective plan for replacement in the event of loss or damage of equipment	10
	Sub total		35
3	Time frame for implementation	3.1. Clear and realistic timeline	10
		3.2. Strong strategy for completing the work on time.	5
	Sub total		15
4	Expertise and qualifications of staff	4.1. Curriculum vitae, with particular emphasis on experience conducting surveys in Rwanda, background in impact evaluation	10
		4.2. Record of satisfactory and timely delivery of similar assignments	10
	Sub total		20
Total			100

Evaluation tips

- Prepare an excel sheet during the evaluation process;
- Add a comments section on why your giving a certain score;
- Firms may ask for a written document on why they were not selected. Having this excel sheet comes to good use

note on client-financed surveys

- If survey funded by the government, they will have the leading role in drafting TORs and reviewing deliverables
- Offer technical assistance and examples / templates for both
- Be sure to provide weekly progress reports so any field issues are not a surprise

a few words of advice

- Know average survey costs in the country
 - If a proposal seems too cheap to be true, it probably is...
- Be aware this is potentially a repetitive game
 - Sometimes there's only one survey firm in town
- FC communicates progress and problems with DIME team and government often
 - Contractual issues best dealt with by contract manager
- Be careful about asking for things that are not in the TORs
- Build relationships with enumerators to help understand how things are really going and identify issues that might affect data quality

what kinds of problems come up?

- Everything you can imagine, and more!
 - Problems with data quality, sample adherence
 - Logistic or contractual problems
- We've prepared examples of 3 survey firm problems that actually happened.
 - Discuss how you would handle the situation
 - Share your decisions with the room
 - Find out how this was actually solved

Alternative Cases- Case 1

- You are an FC overseeing a large survey run by a firm contracted by the World Bank. During the enumerator training and team role play of the potential interview, you find out that some of the enumerators that have been hired do not have expertise/is weak in the local language in which the survey will be implemented. What do you do?

Alternative Cases- Case 2

- You are an FC overseeing a large survey run by a firm contracted by the World Bank. During the enumerator training, you find out that the survey firm management team is being overstretched, i.e. they have supervisors to assist with the enumerator training but they do not have a dedicated team that will lead the field tracking/identification process of the respondents to be interviewed. How do you handle this?

Alternative Cases- Case 3

- During the supervision of data collection, you realize that for a section of the questionnaire, each enumerator is providing a different type of explanation and respondents have a hard time understanding the questions, which may lead to some potential bias in the answer they are providing. What do you do in such a case?

Learn more on the dime wiki

[https://dimewiki.worldbank.org/wiki/Procuring a Survey Firm](https://dimewiki.worldbank.org/wiki/Procuring_a_Survey_Firm)

[https://dimewiki.worldbank.org/wiki/Survey Firm TOR](https://dimewiki.worldbank.org/wiki/Survey_Firm_TOR)

Thanks! Questions?

