

Data collection firm reporting guidance

EQUI-IE

Contents

[Inception Report Guidance 3](#_Toc486870004)

[Pretest report Guidance 6](#_Toc486870016)

[Training and Pilot Report Guidance 7](#_Toc486870020)

[Weekly report template 10](#_Toc486870029)

[Final completion and data quality report template 13](#_Toc486870034)

Inception Report Guidance

|  |  |
| --- | --- |
| Summary information | Specifics |
| Project name |  |
| Data collection activities |  |
| Data collection firm name |  |
| Report authors |  |
| Contract signing date |  |
| Original report submission date |  |
| Revision date |  |

*Instructions:* Data collection firms should produce an inception report with the following information. Firms are encouraged to use their own branded reporting templates. The Inception Report should address all aspects of data collection. For example, if a firm is responsible for both a quantitative survey and qualitative focus groups, then the sampling section of the inception report should first address quantitative survey sampling and then qualitative focus group sampling. It is expected that the firm will draw from SI provided request for proposals, protocols, and materials in developing the content for this report. However, firms should closely review the protocols and ensure that they are realistic and appropriate to the local context. This inception report is the date collection firm’s opportunity to raise concerns and offer recommendations.

## Project Management

* Staffing structure / organizational chart
* Expected number of enumerators/supervisors.
* Qualifications of personnel (e.g. education, experience, language).
* Staffing responsibilities for each position on the organizational chart.

## Project Start-Up

* Enumerator recruiting
* Process for obtaining any required local clearances (e.g. research approval, local IRB, community engagement)
* Procurement of any needed equipment (tablets, custom data collection equipment, etc.) – list of materials, quantity, and anticipated schedule

## Translation and Pretesting

* Process for translating, back translating, and finalizing the instrument in all required languages.
* Plan for pre-testing the instrument, including location, sampling for pre-test, targeted numbers, and staff responsible. A minimum of five pretests should be conducted and at least two for any sub-populations.

## Training and Piloting

* Plan for the development of Manuals (e.g., Supervisor, Enumerator, Data Quality). Each role should have a manual, either in separate documents or combined as one document.
* Training plan, including draft training agenda, venue, anticipate number of trainees, approach to testing/qualifying enumerators.
* Piloting plan, including location and targeted interviewees and procedures for identifying interviewees.

## Sampling & Data Collection

* Sampling plan, including numbers, specifics of sampling (e.g. listing approach, random walk approach), tracking, replacements for each data collection activity.
* Data collection logistics and deployment plan, including teaming, transport, expected location schedule, expected interviews per enumerator per day.
* [If panel] Attrition reduction plan, including steps to mitigate attrition, track study participants, and (if applicable) replace interviewees.

## Respondent protection and data security

* Detail steps to ensure human subjects protection and data confidentiality, including enumerators signing of non-disclosure and research ethics statements, procedures to obtain consent, procedures during interviews to maintain privacy/confidentiality/respondent comfort, electronic data management, storage protocols, and protocols for transfer to SI.

## Quality assurance plan

* Efforts before data collection, including efforts to ensure enumerator quality.
* During data collection, including error prevention, supervisor accompaniments, feedback to enumerators and documentation of problems, backchecks, data quality checks.
* After data collection, including data processing and communication with SI to rectify any data quality or consistency concerns.

## Risk reduction plan

* Risk reduction plan, including potential risks to data collection and steps to mitigate these risks

## Reporting

* Weekly reporting during data collection
* Training and Pilot Report
* Dataset(s) [format of final dataset, description of other accompanying documentation]
* Completion and data quality report

## Deliverables

|  |  |
| --- | --- |
| DELIVERABLE | EXPECTED DELIVERY DATES |
| Inception report |  |
| Translated instrument, backtranslation, and final translation |  |
| Pretest report |  |
| Manuals and training agenda |  |
| Training and piloting |  |
| Training and piloting report |  |
| Weekly reporting during data collection |  |
| Data sharing milestones   * Pilot data * As agreed * Final data |  |
| Completion and data quality report |  |

## Workplan

* Include Gantt chart demonstrating timeline for all data collection activities and deliverables

## 

Pretest report Guidance

|  |  |
| --- | --- |
| Summary information | Specifics |
| Project name |  |
| Data collection activities |  |
| Data collection firm name |  |
| Report authors |  |
| Contract signing date |  |
| Original report submission date |  |
| Revision date |  |

## Pretest process

The data collection firm should explain how the pretest was done, including at least:

* How units were selected and how they may or may not be different from the study population
* Dates of the pretests
* Who carried out the pretest
* Version # of the instrument used for pretest

## General observations

Please provide any general observations not specific to particular questions. This should include estimated times to complete the survey.

## Instrument specific observations

This will form the bulk of the report. The data collection firm should offer suggested revisions, explanations for suggested revisions, and other comments. In most cases, it is easiest to provide the pretest instrument in its entirety and embed comments and suggested revisions using the track change and comment feature of Microsoft Word.

Training and Pilot Report Guidance

|  |  |
| --- | --- |
| Summary information | Specifics |
| Project name |  |
| Data collection activities |  |
| Data collection firm name |  |
| Report authors |  |
| Contract signing date |  |
| Original report submission date |  |
| Revision date |  |

## Description of activities

Please provide a short description of the activities conducted. The final training and piloting agendas should be included as an annex to the report.

## Ensuring quality enumerators/researchers

Describe recruitment of enumerators and note the total number of enumerators trained. If qualitative activities are included, the table should also include those staff. Likewise, in cases where specialized staff are recruited for other data collection activities (e.g. water quality lab analysts or qualitative interviewers), they should also be included in this table. Include a table like the following that identifies all of the trained field supervisors and enumerators. It should include the following information:

* **Position**: This should typically be either enumerator or supervisor but might include data collection firm staff that attended the training should be included as well.
* **Name**: Full name of the person.
* **ID**: This should be the same enumerator ID number that is used in the survey and will be used throughout data collection. It will also be pre-loaded into electronic survey forms.
* **Education level**: This should note secondary, tertiary (university), or graduate work.
* **Training completion**: Write “Yes” if the enumerator attended the entire training and piloting. If the enumerator did not attend the entire training but is approved, please provide a note below clarifying what was missed and how the individual was trained.
* **Written test score**: If a written test was taken, please write the percentage score on the test.
* **Observations**: Observations should be based on supervisor or management observation of the enumerators performance in mock and pilot interviews. There should be detailed observations on each enumerator and supervisor. Any weaknesses or areas for improvement should be noted.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Position | Name | ID\* | Education level | Training completion | Written test score | Observations | Result  Approved/  Fail |
| *Enumerator* | *John Doe* | *12* | *Secondary* | *Yes* | *85%* | *Demonstrated mastery of the instrument. Some weaknesses on contact and introduction.* | *Approved* |
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## Piloting results

Describe recruitment of pilot respondents and note the total number of pilot surveys completed. Summarize any general observations not included in other sections of this report. Please offer any additional notes regarding contact and response rates for the pilot. Include a table like the following that identifies all of the pilot interviews.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Survey unique ID | Enumerator ID | Supervisor ID | Date | Duration | Observations |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
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## Edits to the instrument

As with the pretest report, the data collection firm should note any changes made or recommended for SI to make to the final instrument as a result of the training and piloting. As with the pretest report, it may be easiest to provide the training/piloting instrument in its entirety and embed comments and revisions using the track change and comment feature of Microsoft Word. The data collection firm should work closely with SI staff on any edits and on documenting these edits. This may be provided as an annex to this report. Please provide a very brief explanation of changes here in the body of the report.

## Edits to protocols

The data collection firm should provide updated protocols with edits in track changes as an annex to this report. Please provide a very brief explanation of changes in the body of the report.

The data collection firm should work closely with SI staff on any edits and on documenting these edits.

## Edits to manuals

The data collection should provide updated manuals with edits in track changes as an annex to this report. Please provide a very brief explanation of changes here in the body of the report.

The data collection firm should work closely with SI staff on any edits and on documenting these edits. These revised manuals should include:

* Enumerator manual
* Data quality and supervisor manual
* Other manuals

## Data

Provide a dataset of the pre-test and pilot data . If the survey is completed electronically, SI should confirm they are able to successfully download the pilot data from the server.

## Annexes

* Final training and piloting agenda
* Revised instrument
* Revised protocols
* Revised manuals
* Pre-test and Pilot Datasets

Weekly report template

|  |  |
| --- | --- |
| Summary information | Specifics |
| Project name |  |
| Data collection activities |  |
| Data collection firm name |  |
| Report authors |  |
| Contract signing date |  |
| Period of data collection covered |  |
| Original report submission date |  |
| Revision date |  |

The following should be filled out for each data source.

## Sampling

Identify any sources of potential sampling error, including coverage bias (sampling frame is systematically different than the population) and non-response bias (those who don’t respond are systematically different than those who do). Clarify measures taken or make recommendations to address any potential sampling error.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | This week | Total | Overall target | Percent of target |
| Respondents attempted to contact |  |  |  |  |
| Respondents successfully contacted |  |  |  |  |
| Surveys administered |  |  |  |  |
| Refusals of those contacted |  |  |  |  |
| Ineligible/dropped of those contacted (if applicable) |  |  |  |  |
| Number of completed interviews per enumerator per day |  |  |  |  |
| Average time to complete the survey |  |  |  |  |

|  |  |  |
| --- | --- | --- |
| What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) | New/ updated/ old\* |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

\* “New” implies that it is a new challenge identified this week. “Old” implies that it is an old challenge identified in the previous weeks. “Updated” should be used when the challenge is old but there are updates in the approach to addressing the challenge. This table should grow throughout data collection with old challenges appearing towards the bottom and new challenges at the top.

Data quality assurance

Identify any data quality concerns not derived from the instrument itself.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | This week | Total | Target | Percent of target |
| Number of surveys reviewed by a supervisor |  |  | 100% |  |
| Number of surveys accompanied by a supervisor |  |  | 10% |  |
| Number of surveys back checked |  |  | 5% |  |
| Number of surveys with detected irregularities |  |  | - |  |
| Number of surveys with detected irregularities resolved/replaced |  |  | 100% |  |

|  |  |  |
| --- | --- | --- |
| What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) | New/ updated/ old\* |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

\* “New” implies that it is a new challenge identified this week. “Old” implies that it is an old challenge identified in the previous weeks. “Updated” should be used when the challenge is old but there are updates in the approach to addressing the challenge. This table should grow throughout data collection with old challenges appearing towards the bottom and new challenges at the top.

Measurement/instrument challenges

* Identify any potential sources of random measurement error that might have arisen from question wording (e.g. ambiguity, recall).
* Identify any potential source of systematic measurement error (e.g. social desirability biases, question ordering, Hawthorne effect).

|  |  |  |  |
| --- | --- | --- | --- |
| Question  number | What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) | New/ updated/ old\* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Replacements

(Please baseline firms replaced and what firms they have been replaced by along with matching on key variables)

Requests for SI

(Please note any actions required or requested of SI)

Final completion and data quality report template

|  |  |
| --- | --- |
| Summary information | Specifics |
| Project name |  |
| Data collection activities |  |
| Data collection firm name |  |
| Report authors |  |
| Contract signing date |  |
| Period of data collection covered |  |
| Original report submission date |  |
| Revision date |  |

The following should be filled out for each data source.

## General

|  |  |
| --- | --- |
|  | Total |
| Sample size of the pretest |  |
| Date of the pretest |  |
| Dates of the training |  |
| Sample size of the pilot |  |
| Dates of the pilot |  |
| Dates of data collection |  |
| Final sample size |  |
| Number of enumerators (Total) |  |
| Number of supervisors |  |
| Supervisor to enumerator ratio |  |

## Sampling

Identify any sources of potential sampling error, including coverage bias (sampling frame is systematically different than the population) and non-response bias (those who don’t respond are systematically different than those who do). Provide any recommendations for how SI should deal with any potential sampling error in its anaysis and writing.

|  |  |  |  |
| --- | --- | --- | --- |
|  | Total | Target | Percent of target |
| Respondents attempted to contact |  |  |  |
| Respondents successfully contacted |  |  |  |
| Surveys administered |  |  |  |
| Refusals of those contacted |  |  |  |
| Ineligible/dropped of those contacted (if applicable) |  |  |  |
| Number of completed interviews per enumerator per day |  |  |  |
| Average time to complete the survey |  |  |  |

|  |  |
| --- | --- |
| What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) |
|  |  |
|  |  |
|  |  |
|  |  |

Data quality assurance

Identify any data quality concerns not derived from the instrument itself.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Total | Percent | Target | Percent of target |
| Number of surveys reviewed by a supervisor |  |  | 100% |  |
| Number of surveys accompanied by a supervisor |  |  | 10% |  |
| Number of surveys back checked |  |  | 5% |  |
| Number of surveys with detected irregularities |  |  | - |  |
| Number of surveys with detected irregularities resolved/replaced |  |  | 100% |  |

|  |  |
| --- | --- |
| What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) |
|  |  |
|  |  |
|  |  |
|  |  |

Measurement challenges

* Identify any potential sources of random measurement error that might have arisen from question wording (e.g. ambiguity, recall).
* Identify any potential source of systematic measurement error (e.g. social desirability biases, question ordering, Hawthorne effect).

|  |  |  |
| --- | --- | --- |
| Question  number | What challenges have been encountered? | What steps were taken or will be taken to mitigate/account for/address these problems? (Include dates of any changes) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Replacements

(Please baseline firms replaced and what firms they have been replaced by along with matching on key variables)

Annexes

* All final protocols
* All final manuals
* All updated sampling frame information/materials
* Any weighting procedures
* Final dataset