

# Health Results-Based Financing Grant funded by the Government of Norway

## TERMS OF REFERENCE

### BASELINE HOUSEHOLD SURVEY – [COUNTRY]

[Date]

#### 1 PURPOSE

This Terms of Reference is for a firm/consortium (“Survey Firm”) to develop and implement all aspects of a survey for the Impact Evaluation of the Health Results-based Financing (RBF) Pilot Intervention in [Country]. These data will constitute a key input to the baseline and impact analysis of the Impact Evaluation of the Health Results-based Financing (RBF) Pilot Intervention implemented by the World Bank.

The overall project also includes funding for a survey that collects comparable post-intervention data to be linked with these baseline data. The World Bank reserves the right to competitively bid the post-intervention surveys.

#### 2 BACKGROUND

##### Objectives and Organization

The objective of the HRBF grant is to design and implement sustainable Results-Based Financing (RBF) pilot programs that cost-effectively improve maternal and child health outcomes (i.e MDGs 4 & 5). The hypothesis is that RBF can be used to increase access to appropriate medical care, improve the quality of medical care, and encourage individuals to adopt health-improving behaviors.

The HRBF grant is funding RBF pilot interventions - both supply-side (provider payment schemes, contracting out) and demand-side (conditional cash transfers) in five countries. It is expected that two to three additional countries will be selected in the near future. A central element of the HRBF grant is to learn about and document the extent to which RBF policies are effective, are operationally feasible, and in what circumstances. As such, rigorous evaluation of all HRBF financed programs is essential for generating new knowledge that can inform and improve RBF, not only the HRBF pilot countries, but also to help governments and partners to effectively design and use RBF mechanisms in other contexts as well.

To support the evaluation effort, an Impact Evaluation Network of experts will assist in the design and implementation of rigorous impact evaluations of HRBF financed pilot projects. By coordinating the evaluation designs across countries, the Impact Evaluation Network will ensure consistency of evaluation methods and propose a common set of measurements so that results are comparable across countries. In addition, for each country, a Country-level evaluation team, led by the Country-level Principal Investigator (C-PI) and a Research Assistant will support the Task Team Leader and project team in designing a policy relevant evaluation that conforms to the

country context, while maintaining consistency and uniformity with the global evaluation protocols.

The survey firm / consortium will work under the direct supervision of the country impact evaluation principal investigator (C-PI). The surveys will implement a measurement approach that reflects [country] requirements, and also yield outcome indicators that are comparable to those being used in the other study sites. The objective is not only to assess the impact of the interventions in [country], but to also compare these impacts across the other countries with either similar or different RBF interventions, and to be able provide externally valid advice on the feasibility and effectiveness of these approaches to other countries.

The survey firm / consortium will work under the direct supervision of the Country Principal Investigator and with technical assistance from the Country Evaluation Coordinator. (“Evaluation Team”).

### **Project and Evaluation Design**

[Describe intervention, evaluation design/identification strategy and sample frame]

### **3 SCOPE OF WORK**

The selected Survey Firm will be expected to successfully implement all aspects of [four] closely linked data collection activities. These data collection activities include:

1. Household listing survey
2. Household survey
3. Biometric indicators of health
4. Community questionnaire
5. [Add other modules as needed: longitudinal/intensive tracking survey; facility surveys]

The Survey Firm is responsible for the following:

**3.1. Household Listing Survey.** Listing of all households in selected enumeration areas through a rapid screening and listing survey. Enumerators will collect basic information from each household in the enumeration area, taking on average no more than [5] minutes per household to assess household eligibility, basic demographic and re-contact information. The expected number of households to be listed for this survey is between [XXXX] and [XXXX]. The household sample will be constructed on the basis of this listing. An initial identification and selection of enumeration areas through may also be required.

**3.2. Household Survey.** A complete household survey will be collected from a random sample of [XXXX] households in the selected enumeration areas (“evaluation sample”), taking on average [120] minutes per household to implement. Information will be collected through interviews as well as direct observation. The household survey will include:

- 3.2.1. Household roster and socio-economic modules, including individual level demographic, education, labor/employment and other information.
- 3.2.2. Health module, including individual health, nutrition and child development module, recording recent illness symptoms of all household members, household nutrition information, and cognitive development.
- 3.2.3. A household economy module, including expenditures, assets and productive activities.
- 3.2.4. A household physical characteristics module that documents the location, type and size of housing, housing upgrades, household facilities – especially access to, and types of sanitation, hygiene & water facilities, and other housing facilities and amenities. If feasible, [GPS/GIS] information should be collected for each household in the evaluation sample.

### **3.3. Biometric Indicators**

Household biological indicators of health and welfare will include the following indicators:

- 3.3.1. Heights and weights of the following household members: XX
- 3.3.2. Anemia samples for the following household members: XX

### **3.4. Community Questionnaires**

A community survey will cover [XXXX] community leaders in approximately [XXXX] sample clusters, and will take [90-120] minutes to implement. The survey will be collected through interviews with [one] community leaders or key respondent in each community, and will include information on locality characteristics, services, infrastructure, access to markets, prices and others.

## **4 SPECIFIC ACTIVITIES AND DELIVERABLES**

The Survey Firm will be expected to successfully implement each data collection activity, based on the following specific deliverables:

- 4.1. Acquisition of permissions, insurance, etc.:** The Survey Firm is responsible for acquiring all permissions necessary for conducting the survey. Where required, this may include relevant permissions from national and/or local authorities, and Institutional Review Board (Protection of Human Subjects) permissions. The Survey Firm is also responsible for adhering to local formalities and obtaining any required permits related to the survey implementation, as well as survey team health and accident insurance, salary, taxes, and others as necessary.

***DELIVERABLES (1): The Survey Firm will be provided a basic research protocol and informed consent forms, to be adapted as needed, for any Institutional Review Board clearance necessary for the project. The deliverable for this component is 1) Adapted research***

*protocol and informed consent forms and 2) evidence of ethical clearance, insurance and permits needed to implement the survey.*

**4.2. Adaptation, translation and pre-testing of questionnaires:** The Survey Firm will be provided a standard set of base questionnaires, in English. In consultation with the Evaluation Team, the Survey Firm will adapt survey modules to the country context, including phrasing of questions and adaptation of response codes so they are appropriate to the study context. Once the Survey Firm has adapted the base English questionnaire to reflect unique needs of the project, the Survey Firm will translate this set of questionnaires to the local language(s) and pre-test the translated questionnaires, adapting any components that are necessary to accurately capture the intended information on the study populations. This would include, for example, revising consumption and asset items to reflect the patterns of consumption and assets evident from existing data.

The final set of questionnaires used in the field will be re-translated into English by an independent translator contracted by the Survey Firm, and formatted in the identical format used in the actual implementation.

***DELIVERABLES (2): The deliverables for this component are the 1) pre-testing report including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire, 2) final local language questionnaires, and 3) final corresponding English questionnaires.***

**4.3. Preparation of HH Sampling Plan:** The Evaluation Team will provide the survey firm with an outline of the defined sampling strategy. Based on this, the Survey Firm, in consultation with the Evaluation Team, must propose a robust plan for selecting the evaluation sample. The sampling plan must detail:

- 4.3.1. A plan for listing and selecting the households and individuals to be interviewed. **THIS LISTING SHOULD BE CONDUCTED PRIOR TO FIELD WORK, THROUGH THE LISTING SURVEY.**
- 4.3.2. Clearly define the probabilities of selecting the target population.
- 4.3.3. Strict guidelines for selecting replacement households, should selected households refuse to participate or are otherwise unable to participate. Replacement of households must be done sparingly, and require supervisor approval.
- 4.3.4. Coding strategy in order to ensure each household and individual has a unique code for data entry that merges seamlessly across data sets.

***DELIVERABLES (3): The deliverable for this component is a written Household Sampling Plan approved by the Evaluation Team.***

**4.4. Preparation of Biological Specimen Collection Plan:** Develop a biological specimen handling plan. The specimen handling plan should specify, among others:

- 4.4.1. Protocol for specimen:
  - i. Collection

- ii. Labeling (individual ID code in order to match to household and individual data)
  - iii. Handling
  - iv. Delivery
- 4.4.2. Any in-field specimen evaluation protocols must be specified

***DELIVERABLES (4): The deliverable for this component is a written Biological Specimen Handling Protocol approved by the Evaluation Team.***

**4.5. Field Procedure Plan:** The field procedure plan should outline in detail all aspects of the field work to be conducted by the Survey Firm, including:

- 4.5.1. Composition of a standard field survey team
  - i. Number of enumerators
  - ii. Number of field-supervisors
  - iii. Number of biological specimen collectors
  - iv. Number of field data entry agents
  - v. Qualifications, training
- 4.5.2. Expected tasks and responsibilities of each member of the team
- 4.5.3. Number of visits per household (a minimum of TWO visits per household should be planned to allow for interrupted surveys, revisions of incomplete or inconsistent information, and quality control)
- 4.5.4. Detailed calendar of activities
- 4.5.5. The expected time each team will spend in a PSU
- 4.5.6. Travel and lodging logistics
- 4.5.7. Management information/reporting tools for tracking progress of survey
- 4.5.8. Protocols for confirming:
  - i. The Treatment/Control status of the cluster
  - ii. Confirmation that the location has been correctly identified
- 4.5.9. Supervision and spot check plans to ensure adherence to data collection protocols and confirm quality of data collection and entry, including a minimum of [10%] of re-visits to a random sample of the evaluation sample to confirm the validity of the data
- 4.5.10. Protocols and procedures for addressing data inconsistencies/miss-reporting when identified
- 4.5.11. Protocols for Computer Assisted Field Entry (CAFE), whereby questionnaires are captured and validated immediately following the paper and pencil survey, and the results transmitted back to the field teams to conduct quality checks as needed.
- 4.5.12. Paper questionnaire and data transmission protocols

This Field Plan should be presented to the Evaluation Team for comment, and revised as necessary prior to commencing field work. The Survey Firm must then implement the survey, adhering as closely to the plan as conditions allow. As field conditions dictate significant changes to these plans, the Survey Firm's Field Supervisors are obliged to inform the Evaluation Team via the Survey Firm's management, in the form of a written report or progress report.

***DELIVERABLES (5): The deliverable for this component is a written Field Procedure Plan approved by the Evaluation Team.***

**4.6. Robust Data Entry Program.** The Survey Firm must develop a robust data entry program in CS Pro or another suitable program approved by the Evaluation Team. The Survey Firm will be responsible for translating the user interface into appropriate local language if needed, adapting the program to reflect any changes from the base questionnaire, and adding modules for any additional data collection that is unique to the survey.

The adapted program must be robust:

- Adapt data entry range and consistency checks to values appropriate for the country context, based on existing HH survey data.
- To the greatest extent possible, the data entry program should conduct range and consistency checks, as the questionnaire is keypunched.
- Violations of these checks should lead to an immediate and transparent message sent to the keypuncher, along with a practical method for correcting keypunch errors, or overriding and documenting any answers that violate the range and consistency check rules.
- The program should allow valid open-ended and “other” textual responses outside of the response options provided in the questionnaire
- Variable names generated by the program should correspond clearly and logically to the question labels used in the questionnaire.
- Coding strategy in order to maintain consistent, unique identifiers for households for matching longitudinal data

***DELIVERABLES (6): The deliverable for this component is the 1) written data entry protocol for data entry agents detailing program, and 2) final data entry program adapted for the local questionnaires, and 3) the dataset dictionary with all variables labeled and defined.***

**4.7. Recruitment of interviewer teams:** The personnel requirements for this project include:

**4.7.1. Core survey team:** The Survey Firm must provide a minimum of:

- (1) Full-time Project Manager
- (1) Full-time Field Manager
- (1) Full-time Data Manager

**4.7.2. Field Team:** Although the Survey Firm will determine the NUMBER of field teams in consultation with the Evaluation Team, each field team should be comprised of:

- (1) Supervisor
- (1 or more) Field data entry agents
- (2-6) Interviewers
- (1) anthropometrist (if different from interviewers)

***DELIVERABLES (7): The deliverable for this component is a roster of recruited personnel with their corresponding qualifications.***

**4.8. Preparation of interviewer training curriculum and materials, field manuals and implementation of personnel training:** The Evaluation Team will provide draft training materials to the Survey Firm. Survey Firm will adapt the materials to the local context in consultation with the Evaluation Team. If necessary, the training materials and field manuals will be translated to the local language.

A comprehensive general training should be given to the supervisors, interviewers and data entry agents in order to create a team environment and to allow for substitution between roles should any team member take a leave of absence due to illness or other emergency. Because the training should also serve as a screening process for skilled interviewers and data entry agents, the survey firm should also recruit more interviewers and data entry agents for the training than will be ultimately hired for the project. The supervisors should receive supplemental training as needed.

The training should be scheduled for a minimum of **2 weeks**. The Survey Firm and Evaluation Team will need to identify whether or not all training can take place in one plenary group, or if the number of trainees (supervisors, interviewers, data entry clerks, etc) is large, if it is better to divide the training into several sub-groups. In this case, the Survey Firm will still need to standardize training across sub-groups by using the same training materials among trainers. The Training program should include:

4.8.1. **Theoretical:** Training should include a review the theory of the questionnaire and each question in order to fully understand the objective of each question. Standard quantitative interviewing techniques and field protocols should also be covered.

4.8.2. **Classroom practice:** Training should include individual and group exercises to become familiar with the practice of asking and filling questionnaires. This part of the training may include in class demonstrations, where the questionnaire is projected and one interviewer completes the questionnaire in front of the classroom. The training may also use vignettes, where the firm designs case scenarios based on typical households (perhaps those found during the supervisor training or piloting) and have interviewers complete the questionnaire based on the vignette. Finally, the trainees should conduct pilot interviews on the same subject, and have the interviewers fill in a questionnaire for the interview to test consistency across the interviewers.

4.8.3. **Field exercises:** After the theoretical and classroom practices, the interviewers should go to the field to administer the full questionnaire to a small number of households (outside the study sample). The pre-test shouldn't focus on major adjustments to the questionnaire, but rather simulate the administration of the questionnaire under normal circumstances. The pre-test should also serve as a test of the CAFE for data entry agents.

4.8.4. **Evaluation:** Following the training, interviewers, supervisors and data entry clerks should be evaluated based on their understanding of the questionnaire and their ability to correctly record data using the same test scenarios as used in the classroom practice. The training period should conclude only once the field teams have demonstrated mastery of the designated tasks.

***DELIVERABLES (8): The deliverables for this component are the 1) Final, locally adapted training materials and field manuals 2) Report with the results of the evaluation process.***

#### **4.9. Conduct a successful survey field pilot test prior to baseline data collection**

Indicators of success include:

- Interview teams correctly list, sample and interview households in the enumeration area
- Interview team members understand their roles
- Interview team members understand, and correctly follow interviewing protocols
- Data from 50 households in [2] enumeration areas (outside of the study area) are successfully collected, keypunched, and supervised for quality without major data entry program problems

***DELIVERABLES (9): The deliverable for this component is a documented process of the field test and data successfully transferred to the Evaluation Team.***

**4.10. Weekly progress reports** of the numbers and IDs of PSUs/Clusters successfully completed. The Survey Firm should also budget for a two-three day meeting for all supervisors, interviewers and data entry agents *to meet after field work begins*. A good point in time is *2-3 weeks into field work*. This meeting should give the team an opportunity to discuss any problems related to supervision, field work organization, skip patterns and data entry issues for the progress report.

***DELIVERABLES (10): The deliverable for this component is the timely delivery of Project Manager's Weekly Progress Reports to the Evaluation Team.***

#### **4.11. Successful implementation of the baseline household data collection in all of the planned/substitute sample locations.**

A successfully completed sample location includes the following:

- Dataset containing all of the data coded from the cluster, including complete data from the listing exercise, household, community
- Field Manager's report that documents:
  - Dates of arrival and completion of each cluster/PSU
  - Any notable difficulties or deviations from the standard field plan
  - Record of each substitution of households that may have been required, including the reasons for substitution
  - Any other notable occurrences
- Report on real-time validity checks upon receipt of each PSU's/cluster's data.

***DELIVERABLES (11): The deliverable for this component is the Project Manager's written report of the baseline data collection, including the information detailed above.***

#### **4.12. Compile a database of all the completed data.**

***DELIVERABLES (12): The deliverable for this component is the completed Databases, including the listing data, household data, anthropometric data and community data, with***

*data correctly organized, variables named and labeled and appropriate identifiers that permit seamless merging between databases.*

**4.13. Conduct final cleaning of data and final data delivery report**

- Identify incomplete HHs and redundant observations
- Ensure all components are correctly linked – datasets can be merged cleanly
- Final completion numbers
- Completion inventory

**DELIVERABLES (13):** *The deliverable for this component is the Final Databases and Final Data Delivery Report.*

**5. SCHEDULE OF DELIVERY (TENTATIVE)**

<b>Output</b>	<b>Date</b>
Deliverable 1: 1.1) adapted research protocol and informed consent forms 1.2) evidence of ethical clearance, insurance and permits needed to implement the survey.	
Deliverable 2: 2.1) pre-testing report including timing of modules, comments from interviewers and supervisors and necessary changes to the questionnaire 2.2) final local language questionnaire 2.3) final corresponding English questionnaires.	
Deliverable 3: Written Household Sampling Plan approved by the Evaluation Team.	
Deliverable 4. Written Biological Specimen Handling Protocol approved by the Evaluation Team.	
Deliverable 5. Written Field Procedure Plan approved by the Evaluation Team.	
Deliverable 6. 6.1) written data entry protocol for data entry agents detailing program 6.2) final data entry program adapted for the local questionnaires 6.3) the dataset dictionary with all variables labeled and defined	
Deliverable 7. Roster of recruited personnel with their corresponding qualifications.	
Deliverable 8. 8.1) Training materials and field manuals 8.2) Report with the results of the evaluation process	
Deliverable 9. Documented process (field report) of the field test and data successfully transferred to the Evaluation Team.	
Deliverable 10. Timely delivery of Project Manager’s Weekly Progress Reports	

Deliverable 11. Project Manager’s written report of the baseline data collection	
Deliverable 12. Completed Database	
Deliverable 13. Final Databases and Final Data Delivery Report	

**6. SCHEDULE OF PAYMENTS**

Stage	Proportion of total payment
Signing of Contract	10%
Deliverables 1-6	30%
Deliverable 7-9	20%
Deliverable 10-12	20%
Deliverable 13	20%

**7. ESTIMATED COSTS AND WORK PERIOD**

Estimated survey cost is [XXXXXXXX US dollars]. The work period is scheduled from [XXXX to XXXX]. The firm/consortium will be paid, upon presentation of invoices and contingent upon timely submission of agreed deliverables.

**8. REQUIRED QUALIFICATIONS**

The selected firm/consortium shall possess the following qualifications:

- A legal status recognized by the Government of [XXXX], enabling the organization to perform the above-mentioned tasks.
- Demonstrated experience of organizing surveys on the scale of this project over the past ten years.
- Strong capacity and experience in planning and organizing survey logistics.
- Good network of experienced enumerators, supervisors and data entry clerks.
- Strong capacity in data management and statistics.
- Strong knowledge in the following software: CS-Pro, SPSS, Stata.
- Strong interpersonal skills and a team oriented spirit.

**9. PREFERRED QUALIFICATIONS**

The selected firm/consortium is preferred to have the following qualifications:

- Experience working in the study areas
- Strong background in microeconomics, statistics and econometrics.
- Strong background in public health and biometric measurement

- Previous experience in impact evaluation.