Swedish International Centre for Local Democracy

2023 | Toolbox

Citizen Report Cards (CRC) on Local Democracy

An implementation toolbox

Acknowledgement

This toolbox was produced by the ICLD Knowledge Centre with support from Dr. Sita Sekhar and Ms. Prarthana Rao. Responsible for development and content are Joel Wernersson and Ana Maria Vargas Falla. Any questions about the toolbox can be sent to kc@icld.se.

Content

Introduction

Purpose of survey and toolbox

This toolbox provides essential guidance for supervisors of data collection teams who collaborate with the ICLD to conduct a Citizen Report Card (CRC)-survey for ICLD-projects. The instructions will help you to self-sufficiently prepare for and conduct the survey, please read the toolbox carefully and contact ICLD with any further questions.

This survey targets the end beneficiaries of ICLD-financed projects, which are citizens from the local communities such as local youth, people with disabilities, women, or citizens in less-affluent areas. The survey is part of ICLD's monitoring and evaluation system at the societal level. The purpose of the survey is to monitor change towards ICLD's long term goals, to allow local governments in ICLD programmes to learn from experiences of local communities and to allow citizens a channel to influence ICLD-financed projects and make their voices heard on key topics of local democracy.

The survey is usually done twice for each selected project, once in the beginning as a baseline and again at the end of the project as a comparative endline. A separate but connected toolbox guides an optional follow-up Focus Group Discussion method that may be used following the completion of this survey.

About ICLD

The Swedish International Centre for Local Democracy (ICLD) is a non-profit organisation that is part of the Swedish development cooperation. ICLD's mission is to support democratic participation and change at the local level. With a focus on local democracy, local self-governance and decentralisation, ICLD strengthens local governments' capacity to analyse, prioritise and implement Agenda 2030 in accordance with their own needs, priorities and resources. ICLD supports democracy through promoting institutionalisation in local governments of four core values - equity, participation, transparency, and accountability. The end beneficiaries of ICLD-financed project are citizens or specific marginalised groups for which the local government needs to improve the access of democratic rights for, such as youth, women, or people with disabilities.

The Municipal Partnership Programme allows a local government to work with a Swedish municipality on a mutually beneficial project of change for up to three years to contribute to strengthening local democracy. The overall objective of the partnership and its project(s) should always be to increase involved partner organisation's (the local governments) knowledge and capacity to operationalise the principles of equity, participation, transparency, and accountability. Each local government has a coordinator who is usually the main contact for you as a supervisor. For more information about the programme and the ICLD, please visit our website www.icld.se/en/

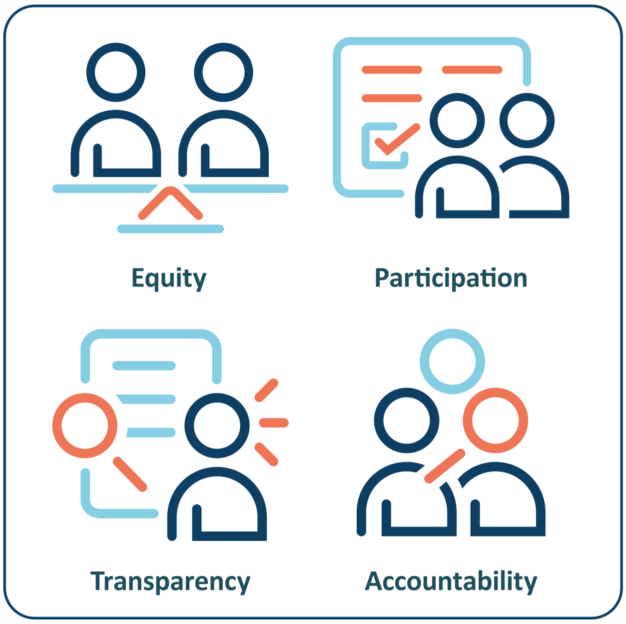
ICLD's long-term goals at societal level are that:

- Citizens experience increased opportunities for equity, participation, transparency and/or accountability from their local governments.
- Marginalised groups and young people have increased influence on the decisions that affect their lives

About Citizen Report Cards (CRC)

ICLD's survey is inspired by the **Citizen Report Card (CRC)** method. CRC is a simple and credible tool to provide systematic feedback to public agencies about various quantitative and qualitative aspects of their performance. CRCs elicit information from users, based on their **experiences** about their awareness, access, usage and satisfaction with public services thus bringing in the dimension of a "bottom-up" assessment of public services and programs. CRC primary purpose is to measure experience, not opinion. In ICLD's case, the service is the broader area of local democracy, and the survey has been adapted to allow insight into how citizens experience access to core values of local democracy.

The questions in ICLD's CRC-survey are designed based on these aspects and aims gain insight into citizen's experiences of their ability to access four core values of local democracy in their local government. These four core values are equity, participation, transparency and accountability.



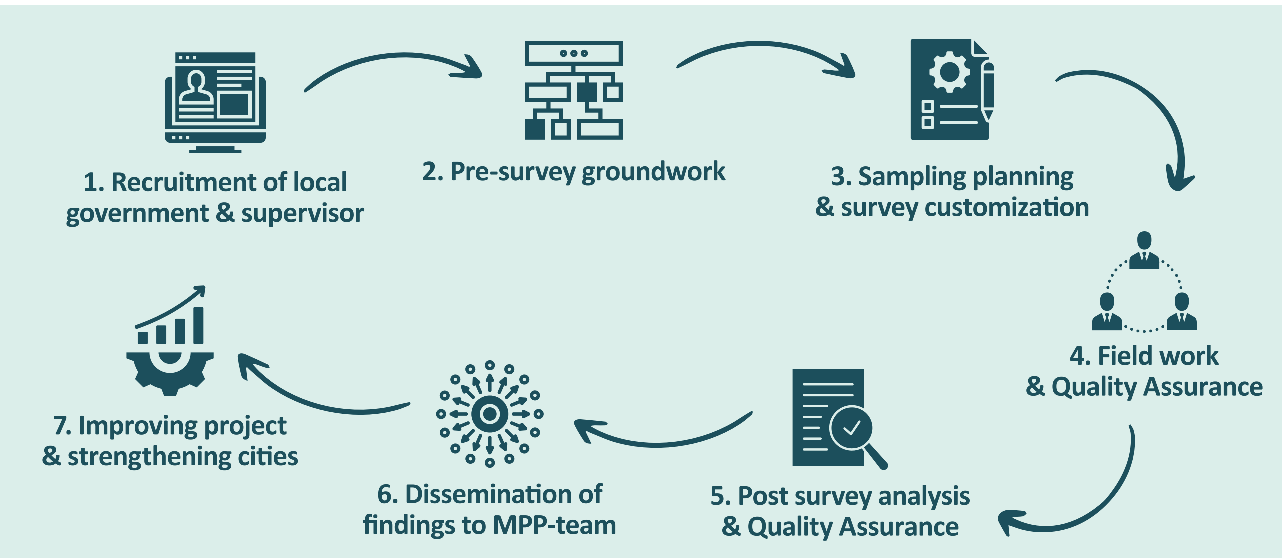
The seven key indicators that form the core of how to design a CRC-survey are as follows:

1. Availability and access – Actual availability, access in terms of distance and accessibility
2. Usage – Awareness/ knowledge of entitlements and actual usage.
3. Quality and Reliability – Adequacy, frequency, and quality.
4. Responsiveness – Grievance redress, sharing of information and behavior of service providers.
5. Participation – Opportunities of participation in local democracy, willingness to participate, extent of participation.
6. Corruption – Existence, extent of corruption.
7. Satisfaction - Satisfaction ratings are an integral part of CRCs. Measurement of satisfaction clearly demonstrates the users' rating of service quality. Satisfaction is therefore used as an overall indicator to assess the quality of local democracy

How to use this toolbox

This toolbox should be used as a manual by supervisors to implement the CRC-survey. The toolbox contains essential guidelines, templates, and frameworks for all steps of conducting CRC surveys. The toolbox is used both in preparation for the CRC-survey, during field work, for quality assurance and for the final report.

ICLD's Citizen report card survey process can be divided into seven steps, where the supervisor is usually involved from pre-survey groundwork to post survey. This toolbox contains guidance for all necessary steps.



The sampling design presents three possible scenarios based on the most standard design of ICLD-financed projects. The supervisor will have to pick the most appropriate scenario and follow the detailed guidelines relevant to that to arrive at the sampling plan. The sampling template (excel format) demonstrates how to arrive at a sampling plan by inputting demographic data using an example of a hypothetical case, "Utopia", with instructions for supervisor on adapting to suit the local context.

The questionnaires (refer appendix A) include questions covering each of the four core values of local democracy. The survey consists of a first standardised part that is designed by the ICLD, a second project-adapted part that is designed by the supervisor in dialogue with the local government, a third part where entirely new questions can be added and some demographic questions where the supervisor will fill in the blanks (such as local ethnic groups). The questionnaire template provided has specific questions with possible responses coded, where some responses lead to routed follow-up questions. The questions are generic in nature to suit various types of projects of change. The template file is a working material that is then submitted to ICLD who enters the survey into the digital survey system KoboToolbox, which is used for the survey.

The toolbox consists of this toolkit (see content section for overview) and the following appendix:

Appendix A: Template questionnaire including part 1 with standardized questions, part 2 with semi-structured project-related questions and part 3 where entirely new questions can be added (to be looked at in dialogue with ICLD and the local government)

Appendix B: Sampling template (Excel format)

Timeline

The entire process which the supervisor is responsible for, from pre survey groundwork to final report, usually takes around 3-4 months. An additional month is usually required for data analysis and post-survey dissemination, which is done by ICLD.

When preparing the timeline, give some thought to possible factors that may disrupt the process:

1. Weather conditions – If the weather is likely to be very hot or rainy it is advisable to avoid conducting the survey during that time. If certain areas are disrupted during a specific day, one could also go to another locality and come back to the hard-to reach localities when conditions are better.

2. Festivals, elections, holidays, school starts, or local events may obstruct field work. Be aware in advance about festivals and holidays and about whether respondents are likely to be available on those days. In case of an unforeseen event in the village (such as a large event ongoing), make alternate plans quickly so that time is not lost.

Below is a general time guideline for a typical CRC; this may be modified, keeping in mind the scope and local schedules.

Post survey data analysis, interpretation and dissemination of findings will be undertaken by ICLD. The supervisor is available to give inputs to ICLD team when necessary during this exercise and provides some reflections in the final report (see section on final report).

Month 1	Month 2	Month 3	Month 4
Pre-survey groundwork	Draft survey reviewed together with ICLD and local government. Preparation for field work.	Training, field work (4-5 days), quality assurance	Final report and post survey input to ICLD for the analysis

Budget

As part of your plan, you will need to submit a preliminary budget. The budget is to cover all costs related to your part of the CRC. Key items to cost in the budget to consider include:

- Survey (field work) related costs[1] - This cost depends on the location of the CRC, field team size and the number of interviews that can be completed in a day. The supervisor is responsible to arrange for transport between locations and therefore should budget for fuel costs etc. The ICLD encourages reasonable renumeration/ compensation for the team members, regardless of whether they are students or professionals, as they are important for the process.
- Enumerators should have smartphones and the budget should, if needed, include access to internet data such as internet bundles to be able to upload the filled-in questionnaires.
- Since mobile phones are likely to run out of charge during data collection, in places where electricity is unreliable, charging the phones may be an issue. It is advisable to provide power banks to enumerators to charge their phones. The budget should include this cost as well.
- Copying and printing - it is advisable to provide each enumerators a copy of the questionnaire in English as well as one copy in the local language.
- Quality check costs – travel expenses for supervisor to make trips to the field to monitor the data collection.
- Eventual costs related to permits for the survey.
- Unexpected costs (i.e., the need to increase number of investigators or expand the number of households surveyed; unexpected delays; increased monitoring.

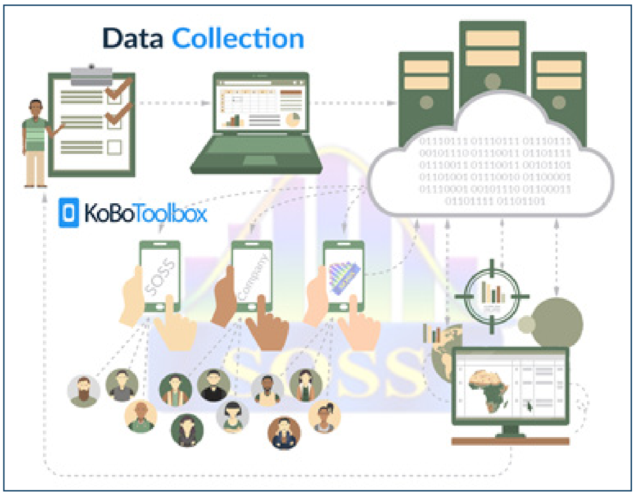
Even if financial resources are limited, productive partnerships with CSOs, concerned businesses, or local civic groups can help minimize costs. Some examples include:

- A local university statistics department or local university students could be recruited to assist with the data collection.
- An associate CSO could provide enumerators for the fieldwork.
- The local government might provide printing and copying facilities.

The budget should not be used to compensate local government officials to, for instance, help guide the team in the field. The local government has already agreed to contribute with work hours as part of their engagement in the Municipal Partnership Programme. Any such request for compensation must be checked and approved by the ICLD.

Digital Survey system KoboToolbox

ICLD uses a Digital system for the survey, KoboToolbox. ICLD enters the questionnaire in the system and the supervisor uses it for data collection, quality assurance and to overview progress of the field work. The system is well-suited for areas with low internet access, as enumerators can keep collecting data and stay on the survey link if connection is lost. The system also enables use of additional languages so that the survey can be used in local languages.



The supervisor starts by creating an account on KoboToolbox and e-mail the account username to ICLD. Following the upload of the survey, the ICLD can then share access to the survey so that the supervisor can view the questionnaire, summary of submitted responses and scrutinize all submitted individual surveys for potential errors. See chapter 4 for how to use KoboToolbox for quality assurance.

1 Survey (fieldwork) related costs include: (1) Translation, retranslation, and printing of questionnaire; (2) Training of enumerators; (3) Travel: local conveyance and (if required) outstation travel; (4) Others: equipment, accommodation (if required).

Pre-Survey Groundwork

Before the commencement of field work, preparatory activities will have to be completed by the supervisor. These include the following steps.

Orientation and involvement of LG and local community leaders

It is important to introduce the CRC to the local government as part of their cooperation project financed by ICLD. Usually, the supervisor will start by contact the coordinator for the MPP-project. The process should also be introduced to community leaders. This helps create a sense of involvement among them as well as elicits cooperation. In many cases, letters of introduction from the ICLD may be required to ensure collaboration with local officials, this can be provided by ICLD.

The involvement of the LG is important to provide input to the survey, but should be restricted to providing relevant information, support for permits, and inputs into the questionnaire. The local government's role should be viewed as advisory but not determinative of content. In cases where there might be different views on issues like the contents of the survey, sampling design or fieldwork planning, it's important to review this tool for guidance on how to proceed. If disagreements persist, the supervisor is mainly responsible for the integrity of the methodology and will decide how to proceed based on the guidance in this tool, consult ICLD staff if necessary. The local government should be consulted and give their input to the survey's part 2, but not for instance remove questions unless the team thinks it is a good idea.

Part 1 of the survey is standardized and mandatory for all surveys in order to provide comparable data. The questions may not be relevant to the specific project, but are designed based on ICLD's core values of local democracy that all ICLD-financed projects should promote. If the local government requests changes to part 1 due to the questions not being relevant for the project theme, the supervisor should kindly inform them of this and refer them to ICLD for further questions if necessary.

The involvement of the community leaders should be sought to locate respondents according to the sample plan as well as persuade respondents to participate in the survey.

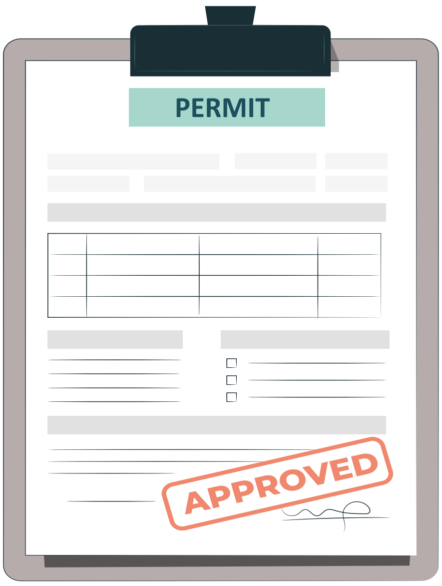
Neither LG representative nor community leaders should be physically present during the interview, with regards to the integrity of the respondents and to avoid bias in the response. Seeking their suggestions on selection of villages or households should be avoided because it can cause a major diversion from the pre-determined sampling plan. This way, biases can be avoided. However, considerations of safety should be taken into account and specific areas can be avoided due to safety reasons. In this case, the supervisor should write a protocol and send it to ICLD.

Arranging permits

Some form of permit or clearance is usually required to do the evaluation survey. The supervisor will, with support from ICLD, find out which permits are needed and work together with the ICLD to acquire these permits. These permits or clearances can usually be:

- Permits from the local government. The supervisor can usually get support from the MPP-coordinator in the local government to review necessary permits and get clearance. A formal introduction letter from the ICLD addressed to the local government may be provided for the supervisor.
- National permits from a responsible ministry.
- Ethical clearance from a university committee or government agency. It should be noted that the CRC-survey is viewed as a method of evaluation of a project. Ethical clearance should normally not be necessary, but if the supervisor is a university employee, he or she may have to consult the university on whether clearance is needed.
- Permits are in some places required from community leaders, if you are unsure, you can consult the local government about whether this is needed.

The supervisor should inform the ICLD about the estimated time to get permits and take this into account in the time plan. Any costs related to said permits should be discussed with the ICLD.



Customization of the questionnaire

The toolbox provides a standardized questionnaire template. The first part of the questionnaire is not to be edited(with the exception of question A2 regarding common services). The second part with project related questions needs editing to customize it to the theme of the project. The supervisor uses the Word-template provided by ICLD to customize part 2 by:

1. Identifying the project theme
2. Reviewing whether any questions in part 2 are not relevant to the project theme and marking any that should be removed completely. Questions F1, F4, F5, G3 and I1 are mandatory to be part of all surveys, other questions may be revised or removed. Normally, a few of the questions in part 2 are not relevant to the project theme.
3. Filling in all blanks and changing the response options where necessary. E-mail the subsequent draft to the ICLD for review. ICLD may need a 2-3 weeks to review the survey and consult the supervisor for revisions, please include this in your time plan.
4. Including additional optional questions about the project in part 3 that are suggested by the local government. These should amount to around 3-9 questions in order to keep the survey at a reasonable length.
5. Translating the questionnaire into the local language and ensuring the field staff can understand the local language. Both the English version and the local language version is to be sent in a word-document to ICLD (it’s important to follow identical structures). It is suggested to keep a paper copy of the questionnaire bilingual (English + local language) for ease of use.
6. ICLD will upload the questionnaire into a digital survey system called KoboToolbox.

It’s important that all questions written in part 2 and 3 are specific and easily understandable for regular citizens. Questions should not be abstract or open for different meanings and interpretations. For instance, the question about infrastructure in part 2 is about specific facilities related to the service, the question about awareness of the issue is about public awareness of one of the main problems that the project is looking to address. The supervisor will often need to push the local government to be clear about what service and problem that the project is looking to address. If the question risks being too abstract it's better to remove it entirely.

Sampling design

Necessary demographic data must be obtained from relevant sources by the supervisor. Use the most recent complete data source. As far as possible use actual and not projected data. Using the sampling template and note provided in the toolbox, the supervisor should finalise the sampling plan for conducting the survey. Following the same process as for the main sample, a separate set of similar villages, localities, households should be selected for use when there is a need to substitute any village/ locality/ household in the main sample plan for any reason. The sampling design is recommended to be followed strictly.

Selection and training of Field team

Regardless of who carries out the survey, there is a need to mobilize a field staff. Before beginning fieldwork, some initial fieldwork decisions can be made. Devote time to decide the number and organization of enumerators.

Number of enumerators

The staff resources required for carrying out the survey links directly to

- sample size
- time taken to complete a single questionnaire and
- available time to complete all the fieldwork.

The team size is calculated by dividing the sample size by number of available days and the productivity per enumerator (the average number of questionnaires that can be completed by one enumerator in one day).

For example, if a CRC has a sample size of 350, a 5-day timeline for data collection, and questionnaire that allows each enumerator to complete 10 interviews per day, then 7 enumerators are required (350/5/10= 7).

For a strict timeframe, more enumerators can be hired to survey multiple areas within the locality at the same time. To make most efficient use of time, teams should go to one place at a time so that the supervisor can monitor them without having to travel to various places on the same day.

Organization of field staff

The field team shall comprise of a field supervisor and enumerators (interviewers) who have been recruited by the supervisor. Usually, surveys use 4-6 enumerators in the team. If the supervisor wishes to select a deputy supervisor out of the members of the team, then some of the tasks below may be delegated to the deputy.

The supervisor

- Manages all aspects of the survey.
- Has strong managerial skills.
- Understands the entire fieldwork process leads a team of enumerator and accompanies them on their initial interviews.
- Performs necessary quality assurance checks during the fieldwork process.
- Keeps in regular contact with the field team.
- Debriefs the staff following completions of the days of field work in order to gather reflections

and lessons learned for the final report (see chapter 6).

The enumerators interview respondents using KoboToolbox to collect data for the survey.

Training of enumerators

Prior to the launch of a field survey, it is mandatory for the supervisor to carry out a training event for the enumerators (regardless of their level of experience). The supervisor schedules a 1-day training with the team prior to the start of the data collection to introduce the method. This training can be coordinated with ICLD who can provide some support such as some Powerpoint slides and information. The key stages of the training include:

- Orientation on the CRC project
- Instructions for implementation of the sampling plan during field work
- Briefing on the questionnaire and technical introduction to KoboToolbox
- Mock interviews

Orientation on the CRC project
It is key that enumerators understand the larger purpose of the survey and the importance of their role in the exercise. Discussing the purpose of this CRC will provide enumerators with important background information to accurately carry out interviews.

Instructions for implementation of the sampling plan during field work
The team would need to be given instructions on how the sampling plan is to be implemented on the ground. Selection of the household and the respondent would also form a part of these instructions.

Briefing on the questionnaire and technical introduction to KoboToolbox
The different parts of the questionnaire should be described, and instructions given on how to ask each question and how routing between different questions works depending on different answers from respondents. Likely responses from respondents should also be discussed with the team. The supervisor should lead the group through a review of each question and discuss how to handle situations if the respondent is unsure or has a difficult time to understand a question. The supervisor should ensure that the enumerators are comfortable with the flow and content of questions and routing.

The supervisor introduces the team to the survey KoboToolbox. ICLD can provide the supervisor with a copy of the survey for training purposes so that the team can use the tool in training, please e-mail ICLD to request this.

In most cases for this survey, English is not the first language of the respondents. The supervisor should before the training have considered the need to translate the survey to necessary local languages so that this can be entered into KoboToolbox and reviewed during the training. Review the translation during training so that the translation is correct and corresponds correctly to the english version. Review in KoboToolbox how to change languages in the survey and how to ask respondents at the outset of the interview what language they are most comfortable with.

Mock Interviews

After the introductory briefing, each enumerator is asked to complete a mock interview – this involves pairing enumerators and asking them to interview each other. Mock interviews help further familiarize the enumerators with the details and flow of the questionnaire.

The enumerators should understand the different actions that can bias data collection. An overview of the sampling design should be shared with the enumerators; the agreed process for household selection should be clearly communicated to supervisors and enumerators. Some points to be highlighted during this exercise include:

- Discuss with the enumerators how to avoid guiding or nudging respondents into a certain answer. A common error in surveys is that responses from different respondents collected by the same enumerator may contain similar answers. For instance, an open-ended question asking the respondent "How can citizen participation in local decisions be improved?" collected by "enumerator 1" may report that 10 out of 40 respondents suggested that installing suggestion boxes outside of a school/church/market is a good way of improving citizen participation, while very few or no other respondents answered that to other enumerators. This indicates that "enumerator 1" may have mentioned in passing to the respondent that an example of an answer in this case could be suggestions boxes and subsequently influencing the responses of the respondents. This leads to a bias in the responses.
- Reminding the enumerators that inaccurate data will be collected if:
  - → the questionnaire is not accurately administered.
  - → the respondent's answers are not correctly recorded and
  - → the sampling design is not being carried out.
- Discussing the process of building a relationship with respondents and mention that a complete investigation of respondents may be necessary to get feedback on a question.
- Explaining how the enumerator can use his/her knowledge of the questionnaire to provide respondents with explanations or examples if they have difficulty understanding a question and
- Stressing that proper carrying out of the sampling design is necessary to ensure that the collected sample is representative of the population.

Feedback on the mock exercise

Once the mock exercise is completed, the team should be given feedback on how they can improve their interviewing skills to get better responses. Also, explanations be given on questions that they have not understood clearly. Some feedback can be given on their body language and behaviour.

Field work plan and logistics

Towards the end of the training, each member of the team should be told where they go on each day to conduct the interviews. The supervisor should inform the team of how logistics of the field work are planned, such as mode of travel for the team, housing, food and beverage and other necessities.

Preparation of briefing note

Preparation and distribution of a briefing note for use by enumerators is helpful. This is useful for them to refer to in case they need clarification on any questions in the questionnaire. The briefing note should contain.

- Instructions for key questions in the questionnaire and routing functions.
- Explanations in detail of the options for responses where required.
- Definitions of key terms such as household, beneficiary, senior citizen, youth etc should be included.

A printed copy of the briefing note should be provided to each enumerator along with that of a bilingual questionnaire.

Suggested Agenda for training of enumerators

1
Introduction of team members
Duration: 10 minutes

2
Orientation on the objective of the survey, their role in CRC and an overview of the toolbox
Duration: 30-60 minutes

3
Instructions on implementation of the sampling plan on the ground
Duration: 30 minutes

4
Questionnaire briefing by going through every question and the likely responses, including technical instructions of how to use KoboToolbox
Duration: 120 minutes

5
Mock interviews
Duration: 30-45 minutes

6
Field plan
Duration: 30 minutes

Sampling design

The sampling design depends on the population of interest, which is determined by reviewing the purpose of the ICLD-financed project (service area and target group). There are several types of sampling designs that can be used depending on the population and information to be collected. The ICLD will review the sampling design that is submitted by the supervisor and ensure that the local government views the determined population and sampling frame as relevant for the project.

There are broadly two kinds of sampling designs that are adopted for any survey.

1. Probability sampling: Probability sampling ensures that each unit of analysis in the population has an equal chance of being selected. Probability sampling methods are used in cases where:
→ formal lists or information about the population of interest are available.
→ sufficient time and resources are available.
→ high precision is required in estimates.
→ when the population is very diverse.

2. Non-probability sampling:
→ indicative results are sufficient and high precision is not required.
→ there is a severe resource constraint.
→ the organization conducting CRC has a good judgement of where suitable respondents can be found.
→ the organization conducting CRC has presence in the location and wants to do what is convenient.
→ when the population is homogeneous and similar.

Generally, for CRCs, probability sampling method is followed. Non-probability sampling is used in rare cases.

Most of the CRCs proposed by ICLD's projects of change fit into one of the three following scenarios for sampling. The stepwise instructions for sampling for each of these scenarios is given below. These are the steps that the supervisor follows for the survey. The most suitable scenario is identified by the supervisor and the steps for that scenario are to be followed.

Scenario 1

The project of change focusses on a common service which is provided to every household in the municipality such as the solid waste management project in Eldoret, Kenya or the Public Library project in Kajado, Kenya.

Step 1: Define the population of interest in dialogue with ICLD and the local government

The population of interest is the broader group being studied, out of which you will select a sample. The indirect target groups, or end beneficiaries, identified by the local government in their projects of change is the population of interest for the CRC. In some cases, this group is not very well defined in the project and the group needs to be defined or narrowed down in dialogues with ICLD and the local government. For projects that fall under this scenario all citizens in the area would generally be the population of interest.

Step 2: Select the sampling unit

The sampling unit would be the household for scenario 1.

Step 3: Select the respondent from the sampling unit

Any adult member of the family who can answer questions based on the experience of the household would be the respondent.

Step 4: Select the sample size

Deciding on the number of households to include in the survey depends on the level of statistical precision that you require for the findings. This is to be decided in consultation with ICLD and the municipality. Most surveys desire a confidence level of either 90 or 95%. Our experience with CRC has shown that A sample of 300-350 respondents is usually sufficient to achieve statistically significant results at the 90% level for individual questions, ICLD surveys normally requires a target number of 350 respondents to the survey, any deviation from this target needs to be approved by ICLD.

Step 5: Determine the sampling frame

The sampling frame is created to help identify all the members of the population, such that they have a chance of being sampled. For scenario 1, the sample frame is a listing of the households in the geographical area that forms the population of interest.
Determine the sampling frame using one of the following data sources.

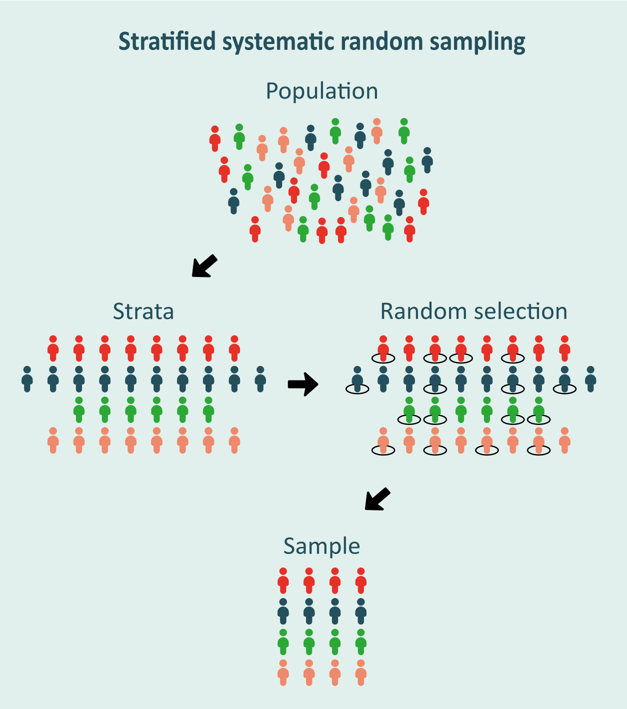
- Government source (census). Open data from the census is usually available up till the sub-district level.
- Non-government sources such as religious organisations, non-profit organisations, self-help groups, voluntary organisations, donor agencies etc.

Step 6: Select a proper sampling method

Simple random sampling
This is a method used where the complete list of households in the locality is available. In this method, a sample from the population of interest is randomly selected. Each household in the population of interest has an equal and known chance of being selected. To select the sample, each household is assigned a number. Then numbers are randomly selected using
- random number table.
- computer generated random numbers.
- or some other method (use of slips of folder paper with numbers on them, lottery method, etc)

The households assigned the selected numbers would form the sample.

Stratified systematic random sampling
This method is used for ensuring even spread of the sample across the geographical area. For example, a city can be divided into wards, wards into localities, localities into streets. The sample would then be picked from the smallest of these strata (streets). Within each stratum, the household is selected using systematic random sampling.



For example, **using wards and streets as units:** our sample size is 350 and there are 10 wards of differing populations.

- Fifty percent of the wards are first selected (5 wards). Start from any ward at random and select alternate wards till you get 50% of the wards (5 wards in this case)
- The sample size (350) is distributed across these 5 wards proportionate to the number of households in each of them.
- Within each ward, assuming there are 10 streets, select 50% of the streets (5 streets). Start from any street at random and select alternate streets till you get 50% of the streets (5 streets in this case).
- The households allocated to the respective wards are distributed across these 5 selected streets in the wards proportionately.
- Within each street, the allocated number of households are selected by using systematic random sampling i.e, selecting household at a calculated interval. The formula for this calculation is (total number of households in the street/number of households to be selected from the street, for instance interview every 5th house).

This whole exercise above has been carried out using the example of a fictitious municipality, "Utopia" in the sampling template excel sheet provided with the toolbox. Please use the sampling template to conduct your own calculation by inputting local data.

While doing **sampling in rural areas:**

- Larger political units like wards or any name given locally to a collection of villages can be selected ensuring that two key criteria are met, geographical spread and representation (ethnic, economic, gender, age etc). This can be done in two ways - by picking a fixed number (such as 4, 8 or half of the wards) based on the total number of wards using simple random sampling or by selecting a central ward and two wards from each direction (North, South, East, West) from the central ward.
- Within a Ward, one can choose the main village and a village that is remote as locations. Where the number of villages within a ward is large (Eg. >50) one can take more than one remote village proportionately in different directions within the ward.
- Within a village, if a list of HHs is available, use simple random sampling to select the required number of HHs. Or prepare a layout of the village in consultation with key stakeholders of the villages and select HHs to be representative.
- Use a landmark like a church or a school and using the right-hand rule explained in the toolkit select the required number of HHs as per the sampling plan for conducting the survey.

It's important for the supervisor to prepare the strategy well in advance of fieldwork, to carefully document the strategy for sampling and share the strategy with ICLD.

Scenario 2

The project for change focusses on a rare service which is provided to select household in the municipality such as issue of birth and death certificates or marriage license etc. One would need to go to the office where the rare service is provided by the municipality and interview people who come to apply or to follow-up on their application. To ensure representation the interviews should be spread across the day and over several days till the required sample size is achieved. More details on how to conduct these interviews are shared in the following chapter on data collection.

Scenario 3

The project for change focusses on selected populations such as improving accessibility for people with disabilities in the city of Vracar, Serbia. The source of data can be institutions that work with disabled communities – list of people with disabilities or organisations of people with disabilities – list of members.

The sample of 350 can be selected from the list using systematic random sampling method. The interval (n) for selection of respondents can be arrived at by dividing the total number of individuals in the list by the sample size (350).

Start from any individual on the list at random and select every nth individual till the required sample size is achieved.

The selected population could be that of youth. The required number of youths could be selected and interviewed from youth centers in different areas when they are gathered there randomly. However, one has to ensure inclusivity in terms of factors such as gender, ethnic group and disability.

The selected population could be that of women. The required number of women could be selected and interviewed from women shelters or self-help groups (members) in different areas randomly. However, one must ensure inclusivity in terms of other factors like ethnic group, disabilities etc.

Data Collection - Executing the Sampling Design

For scenario 1

With a selected and trained field staff and a preliminary sampling design in hand, the surveying process can begin. To carry out the sampling design the field team should be taken to the correct location.

- the supervisor should know the number of households to interview in a location.
- as per the specified sampling plan, systematic sampling with a random start should be carried out.
- The supervisor should make necessary arrangements towards travel, food and lodging of the field team and necessary budgetary provisions for the same should be made.

When a listing of households is available

- the households to be interviewed are usually pre-selected.
- the field supervisor ensures that the enumerators follow the sampling design and
- a standard procedure is followed when a questionnaire cannot be administered to a household (i.e., the enumerator is told to continue to the very next house as a replacement, and then to continue with the original sampling pattern).

When a listing exercise is not possible

- Follow the instructions in the sampling plan in chapter 3.

Whether listing is available or not, balance of interviewees by gender, age and income class should be maintained as per the sample plan. This can be ensured by checking numbers by gender, age and income class every day and selection respondents accordingly for the following days.

For scenario 2 and 3

Exit interviews
In case of services that are not used by most of the population but by a specific set of people it is easier to go to the point of service delivery (facilities or offices of the departments) and interview people who come to avail the service at that location. To assure a good spread

- interviews should be carried out at different periods of time during the day.
- interviews should be carried out on more than one day even if it is possible to attain the sample size of 350 within a day.
- balance of interviewees by gender, age and income class should be maintained as per the sample plan.

Tracer interviews
In the case of some projects of change the users may be easier to locate by getting the details from the point of service delivery, but it may not be advisable to conduct the interview there for various reasons. For example, cancer care patients are easier to locate at the hospitals, but it is not advisable to carry out the survey at the hospital. In such a case, it is preferable that the details of the patients are obtained from the hospital, but the interview is carried out at their residences. In case the hospital is unable to or refuses to provide the information of the patients, a combination of exit and tracer interviews can be done by obtaining consent and contact details from the patients or their care givers at the hospital and following it up with an interview at their residence at their convenience.

Even in the case of tracer interviews, balance of interviewees by gender, age and income class should be maintained as per the sample plan.

Quality Assurance

During and after field work, the supervisor performs quality checks to ensure reliable and accurate data collection. This is done in the field and in KoboToolbox where responses that are collected are visible in real time. There are four major types of quality checks, the supervisor should plan for how to use these methods.

How to quality assure in KoboToolbox: In KoboToolbox, under the section “Data”, the supervisor can find a collection of all submitted responses. Each row is an individual response to all questions which can be viewed and checked. Each submission/response has an individual ID number that can be found to the far right in the row. This ID can be noted in correspondence to ICLD about individual responses. Under the field “Validation”, the supervisor can select three options. Responses that are part of the final data needs to be approved by the supervisor. Status can be changed by the supervisors between the three options, for instance if a response has been approved in the daily scrutiny (4.1) it can then be placed under On Hold if it’s chosen for a back check (4.4) and then moved again to Approved or Not Approved. Following completion of all stages of quality assurance, the supervisor notifies ICLD that quality assurance is done. The ICLD may then conduct its own scrutiny of the data.

Approved – The response has been checked by supervisor and is approved.
On hold – The response needs to be further analysed by supervisor and/or ICLD.
Not Approved – The response contains errors noticed during quality assurance.

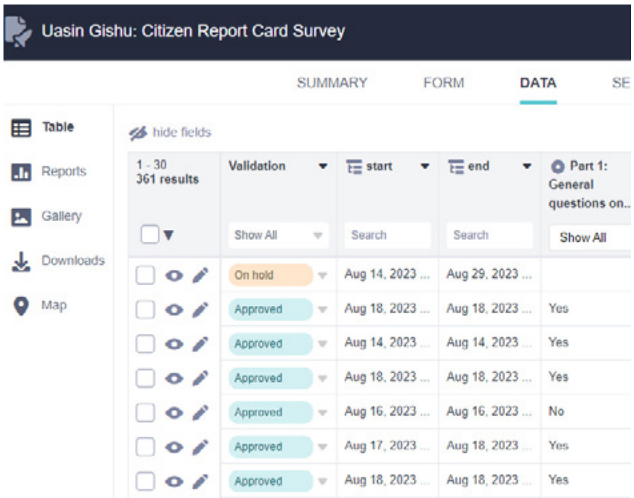
Daily Scrutiny of submitted data during field work

The supervisor should review the submitted responses in KoboToolbox at the end of each day of field work to ensure that data is being submitted correctly. The scrutiny is especially important following day 1 of field work so that feedback and instructions can be given to enumerators who have submitted errors.

- Following completion of the day's field work, the field supervisor checks every completed questionnaire to ensure that the responses are filled in accurately and that there are no errors.
- If errors are noticed, consult the enumerator to try to correct the error (if the enumerator remembers what the correct answer was), otherwise mark the response as "Not Approved" in KoboToolbox.
- Scrutiny of all submitted responses should be done before they can be marked as Approved.
- Check the data for common errors such as these:
  - → Gaps where questions or parts of the survey have not been answered.
  - → Unrealistic numbers are entered (such as age having a 3-digit entry)
  - → Check for indications that some enumerators are asking "leading questions". For instance, if the open-ended questions where respondents provide suggestions for improvement contains similar answers for a specific enumerator recorded responses that are not visible in other enumerators responses. There's been instances where "Suggestion boxes" occurred as a suggestion for improvement many times from one enumerator, but none from any other enumerator. This indicates that the enumerator is either leading the respondent or not correctly representing the answer.
  - → Inconsistency in data across different questions (if the respondent has not faced discrimination, then there should be no answer for basis of discrimination)
  - → Skips and other instructions are followed.

Final data cleaning

Following completion of the field work, the supervisor should complete all remaining data scrutiny that there was not time for during the days of field work. Note the ID for any submissions that contain faults and write an e-mail to ICLD summarizing whether you did some post-fieldwork revisions in Kobo to that response. If a response should be deleted due to missing, faulty or duplicated responses, write this to ICLD and note the ID of the submission.



Accompanied Interviews during field work

To ensure that the survey process is unbiased and carried out properly, the supervisor should accompany each enumerator for at least for one full interview to observe and later be able to provide feedback. This is especially important at the beginning of fieldwork to review that enumerators are conducting the interviews according to plan. A good rule of thumb is to have around 10% of the interviews observed through accompaniment or spot checks (see 4.2) and to ensure to accompany every enumerator at least once.

Spot Checks during field work

Spot checks by the supervisor can also serve as a good quality control measure and a complement to the full accompanied interviews. Here the supervisor need not be there for the whole duration of the interview but only partially monitor an interview. Spot checks can be done both planned or by surprise.

Back Checks following field work

Back check is a method to assess accuracy and quality of data and to detect faults in data collection by enumerators, such as wrong responses being reported, or fake answers being entered into the system. Back checks should be done either during fieldwork (if time allows) or during the week following completion of the fieldwork. Usually, around 5% of the interviews should be back checked using the following steps:

- The supervisor should randomly select one respondent for each enumerator who took part of the field work and perform back checks of the responses. Back checks can be conducted on respondents who have submitted their phone number (as part of the question in the survey on participating in follow up focus group discussion and quality assurance).
- Back checks are done through calling up the respondent and confirming that responses are correct for a few pre-selected key questions. The purpose is to ensure that the information marked in the questionnaire reflects the true experience of the respondent.
- ICLD's suggestion is that the supervisor pre-selects at least 5 questions per respondent and uses the same questions for all back checks (mix these between questions from part 1 and part 2 that ask for straightforward information and demographic questions with factual answer such as age).
  - → If the respondents confirm that the answers correctly reflect their response in the interview, proceed to the next enumerator's respondent.
  - → If the respondent indicates that the enumerator has not correctly entered their response, that response should be flagged as "Not Approved" in the KoboToolbox quality check and the supervisor needs to back check further respondents entered by that enumerator, suggested 10-20% of that enumerator's total number of interviews. If several additional faults are noted, the supervisor flags all remaining responses from that enumerator as "On hold" and contacts ICLD to discuss how to complete the data collection.

Daily reports and final report

Daily e-mail report from Supervisor to ICLD

At the end of each day, the supervisor should e-mail an update to ICLD on the progress of the field work.

Mandatory for all daily reports:
- Supervisor's assessment: Is field work proceeding according to plan and are there any changes needed to achieve the targeted number of responses?
- Is the sampling strategy working according to plan or was there a need to make adjustments based on the reality on the ground?
- Number of interviews completed by ward/sub-district and key demographic category (gender balance male/female). This can be extracted live from KoboToolbox.
- Quality Assurance update: How has daily scrutiny, spot checks, accompanied interviews and back checks been done so far?

Additional questions mandatory for day 1 of field work:
- The report after day 1 of field work should, in addition to the questions above, answer the following:
- Are all necessary permits in place and is collaboration with the local government and local communities expected to proceed as planned?
- Is everything working well technically with using KoboToolbox in the field?
- Have all enumerators collected responses according to plan? Based on accompanied interviews and spot checks, are enumerators conducting interviews as expected?
- Has the team faced any unexpected challenges during the field work?
- Is any further information needed from ICLD to support the field work?

Final report from Supervisor to ICLD

Following completion of fieldwork and all quality assurance checks, the supervisor will compile a final report to the ICLD. The purpose of the final report is to gather narrative reflections from the supervisor and enumerators that can support the analysis, and to get a thorough description of samplings strategy and execution of field work so that comparative field work can be done for the final survey in three years.

The final report should contain the following sections:

1. Description of preparations for field work: Including info on:
   a. Permits needed and how they were acquired.
   b. Recruitment and training of enumerators, name of enumerators.
   c. Description of the sampling strategy used for the field work (in practice). Mention if adjustments to the initial plan was made.
   d. Overall timeline of the entire process
2. Narrative description of execution of field work: Including information of where the team travelled, areas visited per day, number of respondents collected in each ward/sub-district and challenged faced in the field. The purpose of this is document the field work carefully so it's possible to replicate a similar survey.
3. Quality Assurance: How has the supervisor done quality assurance during and following field work. Describe how spot checks and accompanied interview were made and roughly how many, describe how back checks were made and exactly how many were made. Some errors are usually found in KoboToolbox, describe how many responses that were flagged as "On Hold" or "Not Approve" and advise ICLD briefly how to check these or clean the data and note the ID of any responses that were already changed or deleted, or that still required review from ICLD.
4. Reflections from the field team: on respondents' experiences of local democracy, including specific cases of interesting experiences and reactions from the respondents (add quotes if any specific quote from respondents was memorable to note).
5. Feedback and suggestions for improvements: on the survey process in general and for more efficient work on the next similar survey in the same area.
6. Final expenditures: summarize expenditures by main budget posts and reflect on whether some expenditures were higher or lower than expected.
7. Attachments: Please provide a few pictures from the field work (group photo of the team, pictures during a couple of interviews). If any additional materials were produced that can be of help to future supervisors in other areas (such as PPT-slides etc), please send those as well.

Data Storage, Analysis & Interpretation

ICLD starts the data entry process soon after the field work for the survey is completed to create an opportunity to identify irregularities and to correct them while the fieldwork is in progress. The data entry, analysis and interpretation process transform the raw primary information collected from users into the official CRC findings.

Review the reports provided by supervisors and check for any inconsistencies.

→ Have some enumerators conducted many more interviews in a day than the others?
→ Is representation across key categories of respondents maintained?
→ Have sufficient scrutiny, spot check and back checks been done?

Data Entry

The answers and responses collected through the questionnaire must be backed up and stored in a database through exporting the data from KoboToolbox. Data can be entered and analyzed using one of a variety of data management software that is available. A basic spreadsheet program like Microsoft Excel can generate basic tables and cross tabulations and programes like Microsoft BI used for visualisation. Kobotoolbox can provide descriptive reports.

Accuracy Check

The data that has been entered into KoboToolbox should be checked for accuracy.

- Randomly select a set of questionnaires and crosscheck the written/collected responses with those entered in the database.
- Run frequencies and means on specific questions to confirm the accuracy of entered data.

Generating the Findings

To generate the findings

- Analyze the collected data.
  - → Produce the basic analysis tables.
  - → Create relevant cross tabs to make further conclusions.
  - → Perform any additional levels of analysis.
- Interpret the findings.

Categories of CRC Findings

There are several categories of findings that are common across Citizen Report Cards.
They include:

- Estimates on aspects of local democracy.
  - → The average time taken to get a problem resolved.
  - → The percentage of respondents reporting adequacy of infrastructure for a service.
- Comparisons across localities
  - → Evaluating the percentage of residents who have access to public libraries in the East zone of a city in comparison to the West zone.
  - → Comparing the opportunity available for community participation in planning between two types of localities (high and low income) in a city.
- Comparisons over time
  - → Tracking the change in satisfaction with the quality of drinking water in a town over a five-year period using data from two CRCs — one at the beginning of the five-year period and one at the end.

Basic Analysis Tables

The basic analysis tables consist of collected responses for each question for the population or for subgroups of interest (e.g., by age, gender, income group etc.).

Methods to analyze data
Simple techniques are used to analyze data.

- Averages (e.g., average amount paid as a bribe)
- Data ranges (e.g., income)
- Frequencies (e.g., percentage of users who are satisfied with a service)

Data can also be analyzed using more technical analytical tools. The techniques that are used should match the objectives of the Citizen Report Card. Some of the techniques that can be tried include - averages, weighted averages, frequencies, projections (cost) and econometric models to measure relationships between satisfaction and factors influencing satisfaction.

Typical Cross tab output (example)			
	Faced discrimination in receiving entitlements	Did not face discrimination in receiving entitlements	Total
Overall satisfaction	17% (18)	92% (224)	69% (242)
Overall dissatisfaction	83% (88)	7% (20)	31% (108)
Total	100% (106)	100% (244)	100% (350)

Cross Tabulations - After producing the initial tables, it is useful to spend time making cross tabulations for areas of special interest. Cross tabs examine the relationship between two or more variables to better understand a phenomenon. Cross tabulations are easy to do using any basic database package and create a powerful tool for further analysis of citizen feedback.

The number in parenthesis is the number of respondents. This simple cross tab shows that satisfaction is closely related to the extent users of piped water face a problem.

Data Interpretation

Interpretation is the process of translating findings into diagnostic statements. Interpreting the data tables can be undertaken by people with good understanding of the purpose of the CRC (which can be outsorced or done inhouse by ICLD in collaboration with the supervisor). Consider both the audience and purpose of the CRC to help direct the interpretation process. In some instances, recommendations, or suggestions for improvement, are made based on the interpretation of findings.

Example: In one citizen report card study, it was found out that among the low-income households who visited the city water supply agency, 71% were completely satisfied with the behavior of staff.

This is an objective statement of findings based on a direct question in the survey. At the interpretation stage, this percentage is further examined. Is 71% high, medium, or low?

A conclusion is made: A high percentage of low-income respondents who interacted with the water supply board staff were completely satisfied with the behavior of staff (71%).

CRC Reports and analysis

As part of the interpretation process, a descriptive results report and a more extensive analysis report can be produced. The reports include both the positive and negative findings and should be used for learning and input to the local government's project.

CRC descriptive results report

The CRC descriptive results report is a standardized export of the data from KoboToolbox. The purpose of the descriptive report is to produce an overview of the results shortly following the completion of fieldwork and quality assurance. This shows the results from most part of the survey, with personal information and superfluous information removed. The report does not contain narrative interpretation of the findings and an in-depth quantitative analysis of the data is not done.

CRC analysis report

The CRC analysis report is a more extensive report with quantitative and qualitative analysis of findings, key takeaways and a concluding section with conclusions, recommendations and/or questions for further discussion by the local government. The purpose of the analysis report is to provide interpretation, recommendation and usage for further discussion by the local government. An effective CRC report is well organized, clearly written, and concise. The Citizen Report Card analysis report is based on a template that includes:

- Acknowledgements – Supervisor, ICLD responsible staff for the report and partnership coordinator are acknowledged.
- Background and information about the Citizen report card method.
- Objectives of the CRC – statement of purpose.
- Demographic profile of respondents and sampling strategy used.
- Major Findings – major findings from the CRC.
- Key takeaways – Interpretation of the implication of the major findings.
- Executive Summary – an overview of findings.
- Conclusions, recommendations and questions for further discussion.

Some points to keep in mind while writing the CRC report.

- Tables should be used to summarize the key findings.
- The most interesting results should be highlighted with appropriate graphics.

- The findings should include areas of good and poor performance. Let the findings speak for themselves. Resist the temptation to give a positive slant due to internal political pressure.
- The conclusions that are made should be based on the facts obtained, moderated by an understanding of the limits of survey research.
- Limit the desire to give recommendations beyond what the findings suggest. Remember that service providers have considerable expertise and knowledge about services; they may be better suited to make extrapolations based on the findings.

Citizen Report Card

A summary of key index and indicators can be presented in the form of a report card. The report card summarizes the data divided by core values and is an effective tool to get overview of the results.

Dissemination of Findings

The ICLD will use the findings in the survey to disseminate key takeaways for the benefit of the project and the MPP-programme. This is the responsibility of the ICLD, but the supervisor may be asked to attend a meeting to discuss conclusions.

Overview

The dissemination of the findings of the Citizen Report Card is important to get benefits from the CRC-process and bring about improvements in public service delivery. The scope of dissemination relates directly to the objectives of the CRC. The target audience should be informed of the findings within a time frame meaningful for follow up action. The design of an effective and focused strategy depends on a series of steps:

Identifying a Target Audience

The key question to consider here is: "with who should we share the findings to satisfy the objectives of this CRC study?"

The following could be the key audience:

Municipalities: A face-to-face meeting with officials and elected representatives from the municipal partnership creates an opportunity to discuss concluions and get direct feedback on the findings. It also generates buy-in to the overall process (useful for follow-up activities). The emphasis in these meetings is not one of fault finding or finger pointing but underlining key diagnostic pointers and discuss findings, which will help the municipality to come out with specific reform measures. During a meeting with an MPP-team, the process should be explained, findings presented and some questions be discussed with the team, such as:

- What is your own interpretation of these findings / this data?
- Does the results and interpretation correspond to what you thought beforehand?
- How can this inform planning and actions in the MPP-project to make a positive contribution in your area?

Civil Society Organizations (CSOs): Findings can be shared with CSOs, particularly those working in areas related to issue that the project of change is addressing, to create an informed network of local organizations.

Media: During and after the main release of the CRC, the media is targeted to further disseminate the findings.

General Population: The public can be aware of the findings; an informed public generates demand for reforms. Several methods can be used to reach out with findings, such as awareness campaign, local radio programmes, social media engagement and direct outreach with public meetings. The concept of "Open Houses" can also be a way to reach out to the public, these are public events where agency heads are invited to respond to the report card findings and answer questions from the public. ICLD can suggest to the local government use one of these channels as part of their project.

Methods of Dissemination

After identifying the target audiences, the next question to address is, "What is the best method to share the findings?" The decision of how to disseminate the findings depends on the purpose and scope of the Citizen Report Card.

The answer usually includes:
- Pre-launch presentations.
- Media conference.
- Press Note.
- Post-launch presentations.
- Creative opportunities.
- Posters.

Pre-launch Presentations: Hold a meeting with the leadership of the sectors selected for the CRC to discuss the findings before the public release. This will give officials an opportunity to discuss the findings. They can clarify parts of the findings and provide explanations to interpret results more accurately. In addition, the leadership may independently decide to disseminate CRC findings within the organization and use the information for internal decision-making.

Media Conference: The media is very important to the wide-scale dissemination of findings. The first step towards working with the media is to hold a formal press conference to release the CRC findings. Regional and local newspapers, along with the major newspapers, TV and radio stations, are invited to help increase the reach of dissemination.

Creative Opportunities: Creative techniques can enhance traditional dissemination methods. Theatre, artwork, film and other creative methods can often capture the attention of a broad cross-section of the population.

Posters: Posters can be used to highlight the main results in a simple visual format that can be placed at the local government office. In this was citizens can see the results over a period of time.

Other possible channels can be social media or radio.

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