



Integrated Safeguards Data Sheet Identification / Concept Stage (ISDS)

Concept Stage | Date ISDS Prepared/Updated: 30-May-2017 | Report No: ISDSC21445



BASIC INFORMATION

A. Basic Project Data

Project ID	Project Name	Environmental Category	Country
P163431	Costa Rica Integrated System of Household Surveys (P163431)	C - Not Required	Costa Rica
Team Leader(s)	Estimated Date of Approval	Managing Unit	Financing Instrument
Leonardo Ramiro Lucchetti	15-Jun-2017	GPV04	Investment Project Financing

PROJECT FINANCING DATA

FINANCING

FINANCING SOURCES

Select all that apply

Counterpart Funding Trust Funds Parallel Financing

SUMMARY (USD)

Total Project cost	1,823,042
Total Financing	1,823,042
Counterpart Funding	1,437,640
Trust Funds	385,402
Financing Gap	0

DETAILS

Counterpart Funding

Source	Currency	Amount	USD Equivalent
Borrower(BORR)	USD-US Dollars	1,437,640	1,437,640

Trust Funds

Source	Currency	Amount	USD Equivalent
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Trust Fund for Statistical Capacity Building(TSCB)	USD-US Dollars	385,402	385,402
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B. Project Development Objective(s)

The development objective of this TFSCB is to improve the quality of the statistical information provided by INEC by developing an ISHS. This is a multi-sectoral and multi-functional project that has the following objectives:

- i. Establish an integrated sample design for household surveys.
- ii. Define an integrated thematic and conceptual framework for household surveys.
- iii. Develop an integrated information technology system for household surveys

These three specific objectives will allow:

- Improving the MPI by adding variables and increasing the capacity of the ENAHO survey to produce more geographically disaggregated information, including with regards to minority populations;
- Calculating additional welfare indicators, such as the OECD's "Life Better" and new indicators associated to the SDGs;
- Collecting more geographically disaggregated information to monitor the National Development Plan and the regional development assessment (as requested by MIDEPLAN), as well as to close the regional development gaps that exist today in Costa Rica;
- Having more flexible sample designs to be able to generate information of socially and economically depressed geographical zones.
- Better planning of the surveys and the optimization of resources to avoid the duplication of efforts by connecting the information between surveys.
- Improving the dissemination of data in different formats, so as to satisfy the needs of different users.

These proposed development objectives will be applied to the following surveys currently collected by INEC: [i] ENAHO; [ii] Labor Force Survey (Encuesta Continua de Empleo); and [iii] Survey of Producer Households (Encuesta de Hogares Productores). The project also considers other surveys that are not collected by INEC, including the National Culture Survey (Encuesta Nacional de Cultura); Childhood and Motherhood (Encuesta MICS); Use of Time Survey (Encuesta de Uso de Tiempo); and Survey on Disability (Encuesta sobre Discapacidad). In the case of these specific surveys, this project will analyze the best way in which they can be incorporated to the ISHS, considering that their financing will proceed from the respective interested institutions.

C. Project Description

In order to implement the new ISHS, the GoCR has requested TA from the World Bank. The project should be framed within INEC's rule of law, organizational norm, and physical structure. The responsibility of the project's planning, execution and evaluation should fall under the Area of Censuses and Surveys in INEC.

The proposed activities are classified into three components as follows.

Component 1: An integrated and updated sample design for the household surveys

This component will allow to obtain a sampling frame for all the household surveys that INEC will collect within the next ten years. This sampling frame should consider the accuracy and geographical disaggregation requirements of the different topics considered by the surveys, which requires establishing the sample sizes, the sampling selection



method, the periodicity of the surveys, and the weighting methodology of the different samples so as to link the information in complementary subjects to avoid the duplication of efforts.

Besides the indicated products, this component will carry-out internships and consultancies to build capacity on good practices and innovative sample methodologies. The main objective is to improve the estimations, and make the data collection process more efficient as well as the different systems and processes that intervene in the production of information about individuals and households.

The internship aims to support learning from experiences from Latin American Statistical Institutes (for example, Brazil's and Ecuador's) regarding the sample design for and implementation of an ISHS. The following are the issues to be addressed: determine the different surveys and topics that integrate the ISHS, their periodicity, and thematic relationship among the different surveys; inquire about the analyses, tests, and decisions that led to the design of the ISHS; determine the methodological and operational aspects for the launching and implementation of the ISHS, and the advantages that the ISHS design would offer when compared to the design of the previous surveys.

The consultancies are focused on the statistical design and set-up of the ISHS and its operational implementation. INEC's staff will receive the advice and guidance from an expert (provided by the project) in household survey sampling, with recent experience in current models of integrated household systems. This technical support will allow to create new capacities within INEC's staff for the subsequent development of the surveys. The consultancies have the following objectives:

- Elaborate a diagnosis of the sample designs, precision levels, and geographical disaggregation of the estimations, as well as the methodologies of the surveys currently carried out by INEC.
- Determine the surveys and topics that will integrate the ISHS and the required periodicity of visits, sample sizes according to the key variables in the thematic design, and the requirements related to geographic disaggregation.
- Elaborate different designs of the ISHS together with a cost-benefit analysis of their implementation, operational difficulty, and maintenance over time.
- Undertake the selection of the Master Sample according to the ISHS design, determine the calculation methodology of the weighting or expansion factors of the master sample and of the samples of the surveys in the model of the selected ISHS.
- Design and execute a pilot test of the ISHS to evaluate the design and operational methodology of the application of the ISHS model.

The topics included are not covered in university classes or careers, and thus, the only way to generate capacities is through these modalities. Both the internship and consultancies will strengthen the theoretical and practical knowledge of the officials working at the Sample Unit in relation to the design and implementation of an ISHS. The products have to do with generating professional capacities and solid documentation in topics such as: statistical techniques to harmonize processes of different surveys; the operational efficiency of integrated surveys; and the specific design aspects, such as the main variables, the sample size, rotation, the panel, weighting, the estimation methods and the calculation of the sampling errors. It is expected that during the course of the ISHS the team will produce a document about the statistical design, implementation, and maintenance, which will be finished by the end of the project.

Component 2: An updated and articulated thematic design of the household surveys

This component refers to the platform needed to incorporate the different surveys executed by INEC into the ISHS, alternating the different issues according to their periodicity (monthly, quarterly, annual, quinquennial, among others),



the geographic scope of the requested information (national, regional, Great Metropolitan Area, urban, and rural zone), and the thematic complementarity of the different surveys. This will allow linking the information between surveys without exhausting households with multiple visits. This thematic platform will take into consideration current demands of information at the national and international levels, in particular those that are required to incorporate the country to the OECD, as well as to elaborate the SDGs.

The above will be attained through the review of the topics that this type of research about the population and households demands, considering the issues of poverty, labor, incomes, demographics, education, social programs, and others that are necessary to answer the national and international requirements and recommendations from international organizations. Besides the thematic revision and extension, the team will look for new methods to collect and integrate information of the different stages in data gathering, in order to increase the efficiency of the field work.

This requires the technical advice from experts with knowledge and experience in these new research modalities, that have mastery of the topics that need to be examined further and knowledge on how to improve the thematic research. These experts will work with INEC's staff in charge of the household surveys, reinforcing with additional staff hired for the project or substituting them in their current tasks. The team in charge of redesigning the surveys will be also in charge of developing and implementing the research, once the design stage has been concluded. As with the previous component, the staff will benefit from internships and consultancies, as explained below.

The internships within the thematic component will aim to increase the knowledge of the team on the thematic design of the conceptual and operational implementation of the new recommendations to measure incomes, labor, poverty and related topics, as well as to recognize and evaluate the experience of a Latin American Statistical Institute (for example, Brazil's and Ecuador's) in the integration of the different topics within the design of an ISHS. The topics to be covered are related to analyzing the design of the measurement of incomes, labor, and so on; considering the information requirements of international organizations (such as OECD and SDGs); evaluating the design of questions and questionnaires to cover the different topics and user requirements; and understanding the design of the ISHS, the research topics, periodicity, execution and operationalization of the project.

The consultancies will support the process of thematic design to be included in the ISHS according to the requirements of national and international users, the periodicity, coverage, and scope of the different topics:

Forum for consultation with users: meeting with survey specialized users, under a participatory methodology established previously to satisfy their information needs and take into account recommendations for improvements. These consultations will include Academia, Government, Civil Society Organizations, Indigenous Experts, among others.

- Documentation of the results obtained from the Forum regarding the consultation with users and recommendations.
- Revision and adjustment of the design and content of the current statistical production according to the most recent recommendations from the OECD and SDGs as well as countries like Brazil and Ecuador; these recommendations include the proposal of new designs and contents.
- Proposal, design, and operationalization of new questionnaires for the main topics of interest according to the recommendations.
- Design of the ISHS (topics in the basic module, topics in special modules or surveys, research periodicity in each topic, samples required in each case).
- Scope, limitations in the design and sample size, geographic disaggregation levels, and new research needs for each topic (for future presentation and approval).
- Proposals for the content of the Interviewer's manual and training methodology.



- Plan of inconsistencies: document containing the rules of consistency that have to be followed when collecting information -it is an input for information technology programming and quality control.
- Definition of the Periodicity to collect and present each research topic (such as monthly job, annual household income, and other special topics).
- Definition of scopes and limitations of the pilot: document with the results of the pilot survey, which evaluates the aspects that work and those that have to be improved.
- Processes related to the execution of the ISHS: document that contains the operational proposal of the ISHS, including the definition of processes, their operationalization, programs that will help make a more efficient use of the resources, needed resources for implementation, hiring methods, and so on.
- Final adjustments as a result of the pilot test and of the workshop to obtain feedback. This includes incorporating needed survey and documents' adjustments, as a result of the survey pilot tests.

Both the internships and consultancies will strengthen and increase the conceptual knowledge needed to conduct the research and analysis on the topics of incomes and labor, with the aim to satisfy the new international requirements. In addition, they will facilitate learning about international experiences with respect to the articulation of the different topics in an ISHS. It is expected that the final project will produce a document that will include topics that should be covered in an ISHS, its operationalization in the field via questionnaires, scopes and thematic periodicity, and the limitations in the research of the different topics.

Component 3: An integrated information technology system for the management of the household surveys

This component will standardize all the statistical operations at the level of the survey questions, question values, and inconsistencies in the questionnaires. The main objective is to offer computational solutions in order to automate surveys with the aim of offering higher quality statistics on a timely manner.

SAFEGUARDS

D. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

E. Borrower's Institutional Capacity for Safeguard Policies

This is a statistical capacity building project coordinated by the Instituto Nacional de Estadística y Censos (INEC) in Costa Rica, with the objective to improve the quality of the statistical information provided by INEC by developing an Integrated System of Household Surveys (ISHS). It concerns improvements in survey design methodology, conceptual design of the ISHS, and integrated information technology system for the management of the ISHS. The activities to be funded by the project are limited to statistical capacity building in data analysis, sample design, and data cataloguing and dissemination. It will not fund any civil works. No safeguards instruments are likely to be required."



F. Environmental and Social Safeguards Specialists on the Team

Ximena Rosio Herbas Ramirez (GEN04)

G. Policies that might apply

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Safeguard Policies Triggered by the Project	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	No	
Natural Habitats OP/BP 4.04	No	
Forests OP/BP 4.36	No	
Pest Management OP 4.09	No	
Physical Cultural Resources OP/BP 4.11	No	
Indigenous Peoples OP/BP 4.10	No	
Involuntary Resettlement OP/BP 4.12	No	
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	
Projects in Disputed Areas OP/BP 7.60	No	

H. Safeguard Preparation Plan

Appraisal stage ISDS required? No

APPROVALS

Team Leader(s):	Leonardo Ramiro Lucchetti
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Approved By

Safeguards Advisor:	Noreen Beg	22-May-2017
Practice Manager/Manager:	Oscar Calvo-Gonzalez	23-May-2017

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) by the Bank and (ii) in country by the Borrower/Recipient, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.