**COUNTRY/SURVEY, YEAR**

**MULTIPLE INDICATOR CLUSTER SURVEY PLAN**

*Month, year*

The draft version of this document is expected to be prepared and presented in summary during the MICS Survey Design Workshop. It is expected that after the completion of the workshop the survey teams work on the plan together with other survey team members and partners and prepare a comprehensive document before the start of any fieldwork activity (including listing, pre-test of questionnaires, test of the CAPI application, or data collection). The survey plan is a live document that should be updated during survey implementation to reflect key changes.

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# Background and Objective

Monitoring progress towards the 2030 Agenda for Sustainable Development through MICS

In 2016, the final list of Sustainable Development Goals (SDGs) indicators was endorsed by the UN Statistical Commission, following the global adoption of the 17 SDGs and 169 targets of the 2030 Agenda for Sustainable Development. The final SDG indicator framework includes 230 global indicators, around 30 percent of which are household-based. The MICS questionnaires have undergone rigorous methodological and validation work to broaden the scope of the tools and include new topics that reflect SDG indicators and emerging issues in the 2030 Agenda for Sustainable Development context.

The new topics that have been developed include: rapid water quality testing, social transfers, foundational learning skills (children age 7-14), child and adult functioning, migration status, use of clean fuels and technology, and victimization.

The Multiple Indicator Cluster Survey (MICS) is an international household survey programme developed and supported by UNICEF. MICS is designed to collect estimates of key indicators that are used to assess the situation of children and women. Over the past 20 years MICS has evolved to respond to changing data needs, expanding from 28 indicators in the first round to 200 indicators in the current sixth round, and becoming a key source of data on child protection, early childhood education, and a major source of data on child health and nutrition. In addition to being a data collection tool to generate data for monitoring the progress towards national goals and global commitments aimed at promoting the welfare of children, MICS has provided valuable data for MDG monitoring being a major source of data for the UN Secretary General’s Final Millennium Development Goals Progress Report.

Since the inception of MICS in the 1990s, close to 300 surveys have been carried out in more than 100 countries. As part of the global effort to further develop national capacities to generate and analyse high quality and disaggregated data, UNICEF launched the sixth round of MICS surveys in October 2016, with results expected to be available starting from the end of 2017. Today, MICS is well positioned to play a central role in the new 2030 Agenda for Sustainable Development data landscape alongside other key demographic, health and socio-economic surveys and to complement data from administrative sources and censuses. MICS was already covering some of the SDG indicators that are household-based. After undergoing rigorous methodological and validation work to broaden the scope of the tools and include new topics that reflect SDG indicators and emerging issues in the 2030 Agenda for Sustainable Development context, MICS6 questionnaires in the sixth round will cover about 40 percent of household-based SDG indicators.

As governments begin to develop national frameworks to monitor progress towards the SDGs and establish baselines, strategic planning and investments will be required to collect robust, more frequent, and timely data. The new round of MICS presents a unique opportunity to support this process.

[Add country specific background and objective]

# Governance Structure

[In this section, under separate sub-headings as appropriate;

* Give the name of the national statistical office (NSO) implementing the survey (or other implementing agency).
* Provide an overview of the Memorandum of Understanding (MoU) (parties, critical components affecting survey planning, clearance for ethical review board, etc.).
* Give the names and affiliations of those who will be responsible for the management, technical work, ethical considerations and coordination activities. Include the survey coordinator, the sampling expert, and data processing expert assigned from the NSO/implementing agency, as well as others, if applicable. If already identified, the National MICS Consultant and other key regional experts/consultants together with their respective responsibilities should also be included.
* Describe the roles and contributions of national and international stakeholders and funding agencies.
* Describe the status, composition and roles and responsibilities of the Steering and Technical committees (including focal points for ethical review submission and process).
* Provide other details on the governance structure and human resources as needed.

# Questionnaires

MICS will include five questionnaires; one for the household, one for women 15-49 years of age, one for men 15-49 years of age, one for children age 5-17 years[[1]](#footnote-1) and one for children under age five[[2]](#footnote-2).

A separate “Water Quality Testing Questionnaire” is available to be administered to a subset of households within each cluster as is a separate “Questionnaire Form for Vaccination Records at Health Facility” for countries where children’s immunizations records are kept in health facilities.

The following modules will be included in the Year of fieldwork Country/Survey MICS:

**Household Questionnaire:**

|  |  |
| --- | --- |
| * Household Information Panel
* List of Household Members
* Education [3+]
* Household Characteristics
* Social Transfers
* Household Energy Use
 | * Insecticide Treated Nets
* Indoor Residual Spraying
* Water and Sanitation
* Handwashing
* Salt Iodization
 |

**Questionnaire for Individual Women:**

|  |  |
| --- | --- |
| * Woman’s Information Panel
* Woman’s Background
* Mass Media and ICT
* Fertility/Birth History
* Desire for Last Birth
* Maternal and Newborn Health
* Post-Natal Health Checks
* Contraception
* Unmet Need
 | * Female Genital Mutilation/Cutting
* Attitudes toward Domestic Violence
* Victimization
* Marriage/Union
* Adult Functioning [18-49]
* Sexual Behaviour
* HIV/AIDS
* Maternal Mortality
* Tobacco and Alcohol Use
* Life Satisfaction
 |

**Questionnaire for Individual Men:**

|  |  |
| --- | --- |
| * Man’s Information Panel
* Man’s Background
* Mass Media and ICT
* Fertility
* Attitudes toward Domestic Violence
* Victimization
* Marriage/Union
 | * Adult Functioning [18-49]
* Sexual Behaviour
* HIV/AIDS
* Circumcision
* Tobacco and Alcohol Use
* Life Satisfaction
 |

**Questionnaire for Children Age 5-17 Years:**

|  |  |
| --- | --- |
| * 5-17 Child Information Panel
* 5-17 Child’s Background
* Child Labour
* Child Discipline [5-14]
 | * Child Functioning
* Parental Involvement [7-14]
* Foundational Learning Skills [7-14]
 |

**Questionnaire for Children Under Five:**

|  |  |
| --- | --- |
| * Under-Five Child Information Panel
* Under-Five’s Background
* Birth Registration
* Early Childhood Development
* Child Discipline [1-4]
 | * Child Functioning [2-4]
* Breastfeeding and Dietary Intake [0-2]
* Immunization [0-2]
* Care Of Illness
* Anthropometry
 |

Provide information on whether the Water Quality testing Questionnaire will be administered to a subset of households and whether the Questionnaire Form for Vaccination Records at Health Facility will be used to collect immunization records for children under three years of age.

List (separately) any *non-MICS* modules, topics or measurements that are planned and provide justification for each addition (including the information about the stakeholder requesting the collection of data).

The following questionnaires and modules from the global standard MICS questionnaires will be excluded from the Year of fieldwork Country/Survey MICS:

List the excluded questionnaires and modules and provide reasons for the exclusion of each questionnaire and module. If the module or questions are not applicable to the country/survey you are not expected to provide a detailed explanation. However, for other exclusions, please include specific details about the reasons the modules and/or the questions are not planned to be included and provide references to the data needs assessment.

**Household Questionnaire:**

**Questionnaire for Individual Women:**

**Questionnaire for Individual Men:**

**Questionnaire for Children Age 5-17:**

**Questionnaire for Children Under Five:**

Sometimes, a module may be kept, but specific questions from the module may be excluded. Indicate these modules and questions.

Provide information on the plans for the translation and back-translation of the questionnaires into local languages and plans for pre-testing the questionnaires (sample size, language versions to be tested, pre-test locations, number of pre-test staff, duration of training and pre-test). Indicate that the results from the pre-test will be compiled in a report, and will be used to further modify, customise, and finalize the questionnaires.

Appendix C includes a checklist of documents that are expected to be available to the survey methodologists for customisation of questionnaires. These documents should also be shared with UNICEF RO and UNICEF HQ when submitting questionnaires for review. To aid discussions about questionnaire customisation, it is recommended the documents listed in the check-list are brought to the Survey Design Workshop.

# Sample Design

In this section, under separate sub-headings, as appropriate, describe:

* The sample design
* Sample size, including the expected numbers of households, women, men, children age 5-17 years and under-5s. Include information on sub-sampling of men, oversampling of children age 5-17 years or under-5s if applicable
* How the sample size was calculated, including the indicators used for the calculation of the sample size
* The sample size for water quality testing (total number of household water samples and source water samples, numbers per cluster)
* The level of disaggregation sought for reporting
* What sample frame will be used and if the sample frame needs to be updated
* Plans for the listing and mapping operation (number of clusters, duration of listing, whether listing will be conducted using paper forms or CAPI)
* Plans for the listing and mapping training and pilot listing (number of clusters for the pilot, locations), plans for monitoring listing
* Plans for recruitment of staff involved in listing, including details of the type of personnel and numbers (personnel in the field: supervisors, listers, mappers, drivers; office personnel: listing editors, mapping editors/administrators)

[Insert description and photo credit].

*[Insert photo from previous MICS fieldwork if available.]*

* Plans for household selection for the pilot study and main fieldwork (including selection of clusters and households for the pre-test of questionnaires and the test of the CAPI application)

The reader should be clear on what level of disaggregation is being promised, for the key indicators of concern. This is important to avoid creating false expectations on what the survey will deliver.

# Survey Instruments

It is estimated that boards, scales, salt test kits, water quality test kits, tablets with accessories and GPS units will be needed in the indicated amounts:

* Measuring boards:
* Scales:
* Salt test kits:
* Water quality testing equipment:
* GPS units (needed if tablets cannot do GPS readings adequately to capture cluster location):
* Tablet and accessories per tablet unless otherwise indicated (spare battery, case, screen protector, spare stylus, SD Card; vehicle chargers (1 per team)):

Delete those that do not apply to your survey,

Provide information on types and brands of equipment, and from where they will be procured. Any other survey instruments that will be used in the survey should also be added here, including explanations for why they are needed.

# Recruitment and Training of Fieldwork Staff

In this section, under separate sub-headings as appropriate, describe:

* Plans for recruitment of fieldwork staff, including details of the type of personnel (interviewers, supervisors, and measurers),[[3]](#footnote-3) their education/background, sex, numbers, etc.
* Timing of training
* Length of training
* Methodology and content of training
* Profiles of trainers
* How training will be organized – central location, in separate districts, including how standardization will be ensured if not central location
* Plans for the pilot study (sample size, locations)

# Fieldwork

In this section, under separate sub-headings as appropriate, describe:

* Timing of fieldwork, constraints on timing of fieldwork
* Team composition, including numbers
* Expected duration of fieldwork and how the duration was calculated
* Plans for monitoring data collection and fieldwork supervision, including the use of field-check tables to provide feedback to the field
* The dynamic of submitting data to the central office for CAPI surveys[[4]](#footnote-4)
* Fieldwork logistics
* Identify field focal point (e.g. field supervisor) for ethical concerns during field work

# Data Processing[[5]](#footnote-5)

In this section, under separate sub-headings as appropriate, describe:

* Plans for participating at the MICS Data Processing Workshop
* Plans for customising CAPI applications for MICS (listing and main fieldwork, or only the latter)
* Plans for testing the CAPI application (sample size, test locations, number of CAPI application testing staff, duration of training, and fieldwork for the test). Indicate that the results from the test of the CAPI application will be compiled in a report, and will be used to finalize the application.
* Plans for participation of data processing staff in trainings (listing training if CAPI listing, pre-test of questionnaires, test of the CAPI application and main fieldwork training)
* Characteristics of data processing staff (programmer(s), central menu supervisor and secondary editor(s))
* Plans for providing data processing support to teams in the field for CAPI surveys
* Plans for monitoring the quality of data
* Foreseen duration of data processing

Census and Survey Processing System (CSPro) software package will be used for data entry. The CSPro software will be provided to the NSO/implementing agency by UNICEF MICS Team at or before the MICS Data Processing Workshop.

The Statistical Package for Social Sciences (SPSS) will be used for analysis. A licensed copy of the software will be provided to the NSO/implementing agency by UNICEF HQ.

# Data Analysis and Report Writing

[Insert description and photo credit].

*[Insert photo of previous MICS reports (key findings reports, final reports, child friendly reports) if available.]*

Provide information on the plans for the production of final tables and on report writing, including timing of production of the Survey Findings Report.

#  Archiving and Dissemination

Provide information on the plans for the printing, launch and dissemination of the Survey Findings Report, as well as for public sharing of SPSS data. Consider the need for allocating sufficient human and financial resources to disseminate findings of the survey and describe where the findings will be placed in the public domain. Elaborate on how findings will be communicated to policy makers, non-governmental organisations and other stakeholders.

The SPSS data and survey documents will be archived using the IHSN Microdata Management Toolkit. The toolkit (a software package) and training on how to use it will be provided by UNICEF during the MICS Data Processing Workshop.

# Budget

In this section, under separate sub-headings as appropriate, describe:

* Expected total cost of the survey
* Breakdown of total cost by budget line items
* Amount of funding secured and funding source(s), including the expected share of each funding source in the budget
* Amount of extra funding needed, including plans, if any, on how the funding shortfall will be secured
* Any restrictions in terms of the timing and use of government funds or funds from other sources

For guidelines on how to describe these, refer to the MICS Survey Design workshop materials.

The detailed budget calculations are presented in the Appendix A.

# Technical Guidance and Support

The main guidance for MICS is available at <http://mics.unicef.org>. The survey team, with relevant experts in each case, will attend the three MICS workshops, focused on survey design, data processing and data interpretation, further analysis and dissemination, that will be organized by the UNICEF Regional Office and UNICEF New York MICS Team. In addition to the templates, standards and guideline documents provided at childinfo.org, many completed MICS surveys will also serve as examples.

Technical support, which includes online support and in-country visits, will be provided by the UNICEF Regional Office (through the regional MICS Coordinator and the experts to be mobilized by the Regional Office) and by UNICEF New York MICS Team as described in the MICS Technical Assistance Framework presentation delivered at the Survey Design Workshop.

Add information on UNICEF CO support that will be provided to the NSO/implementing agency, including the role of the National MICS Consultant and the UNICEF MICS Focal Point in the CO.

# Major Challenges and Support from UNICEF

Indicate the major challenges envisaged in each of the above mentioned areas and activities. Include any extra support/area of collaboration with UNICEF Regional Office or UNICEF New York Headquarters that may be needed.

# Timetable

For guidelines on how to complete the timetable, refer to the MICS Survey Design workshop materials

Sample Timetable for a National CAPI Survey Covering 8,000 Households.[[6]](#footnote-6)

|  | **Months** |
| --- | --- |
| **Tasks** |  | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** | **15** | **16** | **17** | **18** |
| **PLANNING AND LOGISTICS** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Data-gap assessment[[7]](#footnote-7) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare and sign the MoU\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| *Survey Design Workshop[[8]](#footnote-8)* |  | TBD |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare the Survey Plan and Budget\*, [[9]](#footnote-9) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Identify survey team and national MICS consultant |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Establish steering and technical committees |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Select personnel for listing operation, pre-test of questionnaires and test of CAPI application, main fieldwork and data processing |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Order supplies: tablets and accessories, scales, boards, salt test kits, water quality testing equipment and GPS units |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carry out logistical arrangements |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **QUESTIONNAIRE DESIGN** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Customise questionnaires and manuals (including translation and back translation of questionnaires and translation of manuals, if needed)\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Training and pre-test of questionnaires |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare report from pre-test of questionnaires; finalise questionnaires and manuals\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **SAMPLING AND LISTING** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare sample design and design weights\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare listing materials and customise CAPI listing application for training and listing operation\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Conduct listing training and pilot |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Conduct listing operation (including listing clusters for the pilot study); prepare listing report\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Carry out sample selection\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Enter sample data (if listing was done using paper forms) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare the sample for the fieldwork CAPI application\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **DATA PROCESSING PROGRAMMES** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| *Data Processing Workshop* |  |  |  |  | TBD |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Customisation of CAPI application\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Training and fieldwork test of CAPI application |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare report from test of CAPI application; finalise CAPI application\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **FIELD STAFF TRAINING AND FIELDWORK** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Train fieldwork personnel and conduct a pilot study |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Collect data in the field |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **DATA ENTRY & PROCESSING** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Data entry, secondary editing and data cleaning |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare survey weights\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Finalise datasets\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **DATA ANALYSIS AND TABULATION** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Customise Tabulation Plan\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Customise SPSS syntaxes\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Populate Tabulation Plan\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| *Data Interpretation and Dissemination Workshop* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | TBD |  |  |
| **REPORT WRITING AND DISSEMINATION** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare Survey Findings Report \* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Plan and prepare dissemination materials\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Disseminate Survey Findings Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **ARCHIVING** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Collate documents/materials for survey archive\* |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prepare survey archive |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** | **15** | **16** | **17** | **18** |
|  | **Months** |

## Appendix A: Survey Budget

Add Excel File

## Appendix B: Protection Protocol

Describe any ethical considerations, potential cultural, organizational or political risks (e.g., if findings may challenge cultural norms, or call existing policies into question). If relevant, describe the plan to mitigate risks.

## Appendix C: Documents for customisation and review of MICS questionnaires

|  |  |
| --- | --- |
|  | List of MICS6 indicators, as well as any survey-specific indicators, that are expected to be calculated based on the customised questionnaires |[ ]
|  |  |  |
|  | Information on the education system in the country: education laws/regulations that describe levels and grades/years of the national education system, as well as information on any changes to the system that may affect data collection and analysis |[ ]
|  |  |  |
|  | Table/map showing correspondence between the ISCED 2011 classification of education and the national education system classification (levels and grades/years) |[ ]
|  |  |  |
|  | Showcard(s) that will be used for testing literacy at modules WB and MWB *Showcards should be produced in all written languages that are commonly used, regardless of whether questionnaires in these languages are being used or not.* | [ ]  |
|  |  |  |
|  | Documentation on the providers of antenatal and postnatal care in the country *This can be an assessment or a large document, but should enable the team to identify response categories for questions that include providers of such services.* | [ ]  |
|  |  |  |
|  | Information on the birth registration system in the country: brief overview of legislative requirements, information on length of validity of birth certificates (are certificates valid for a limited time-period, e.g. six months, or are they permanent), is a certificate free of charge at the time of registration, does issuance at a later date require payment of a fee, etc. |[ ]
|  |  |  |
|  | Vaccination schedule that is used in the country (or schedules if there has been a change during the last three years) |[ ]
|  |  |  |
|  | Information on any national immunization day campaigns that took place in the last three years |[ ]
|  |  |  |
|  | Scanned copies of vaccination cards that have been filled in, preferably from different regions/districts of the country (the date of birth of the child should be visible if possible, all other personal details should be blacked out) |[ ]
|  |  |  |
|  | A document/regulation that outlines or lists the government recommended homemade fluids for treatment of diarrhoea.  | [ ]  |

1. For one randomly selected child in each household. This questionnaire is primarily administered to the mother or caretaker, apart from the Foundational Learning Skills module, which is administered to the child. In rare cases when a child age 15-17 has no mother or caretaker identified in the household, the respondent will be the child him/herself. [↑](#footnote-ref-1)
2. Administered to their mothers or caretakers. [↑](#footnote-ref-2)
3. Paper and Pencil Interviewing (PAPI) surveys should also include editors. [↑](#footnote-ref-3)
4. For PAPI surveys the document should describe plans for data entry and data processing, characteristics of data entry clerks, office editor and supervisor(s) (by number, sex, education, experience) and training of data entry staff [↑](#footnote-ref-4)
5. For PAPI surveys: Data Entry and Data Processing [↑](#footnote-ref-5)
6. Some of the activities shown in the timetable will not be relevant for PAPI surveys and will need to be deleted (e.g. test of the CAPI application), while the duration of others will be need to be adjusted (e.g. the main fieldwork training will be shorter for a PAPI survey). [↑](#footnote-ref-6)
7. In country discussions and a data-gap analysis should be conducted prior to taking the decision on whether to conduct a MICS. [↑](#footnote-ref-7)
8. Timelines for MICS workshops can specified following confirmation by UNICEF RO and HQ. [↑](#footnote-ref-8)
9. An asterisk \* indicates items that include reviews by UNICEF RO and HQ. [↑](#footnote-ref-9)