



# ASTI SURVEY MANAGEMENT SYSTEM USER GUIDE

<https://www.asti.cgiar.org/connect>

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CONTENTS

- 1 Overview..... 1
- 2 Preparing for the Survey Round ..... 2
  - 2.1 Survey Management System ..... 2
  - 2.2 Agency list..... 3
  - 2.3 Agency survey templates ..... 4
- 3 Survey Implementation Process ..... 5
  - Option 1: Online survey ..... 6
    - Stage 1. Generate and distribute surveys ..... 6
    - Stage 2. Verify the data ..... 9
  - Option 2: Excel survey..... 11
    - Stage 1. Generate and distribute surveys ..... 11
    - Stage 2. Verify the data ..... 12
    - Stage 3. Upload completed surveys ..... 12
- 4 Monitoring Survey Processing Progress ..... 14
- Annex 1. Frequently Asked Questions ..... 15
- Annex 2. Common Errors ..... 16

## 1 OVERVIEW

The purpose of the ASTI survey management system is to streamline the process of distributing surveys, validating data, and processing data. This guide will present the procedures for implementing a survey round using the system. It is intended to be used by ASTI Focal Points, the representatives of ASTI's national partners.

Two options are now available for survey distribution, an online survey, and an Excel version. The online survey is preferable as it will help reduce data errors and speed data processing time. If an agency filled out surveys in the previous round, the data will be available for the agency to see and compare with new data, thereby reducing inconsistencies.

There are a number of additional resources that you may find helpful for managing an ASTI survey round:

[Practitioner's Guide for National and Regional Focal Points – ASTI Methodology and Data Collection Standards](#)

[ASTI Connect User Guide](#)

[ASTI Training Videos](#)

## 2 PREPARING FOR THE SURVEY ROUND

Prior to initiating the survey, an ASTI team member will work with you to:

- access the survey management system;
- verify the complete list of agencies to be surveyed; and
- confirm the appropriate survey templates for each agency.

### 2.1 SURVEY MANAGEMENT SYSTEM

The survey management system may be accessed through ASTI Connect:

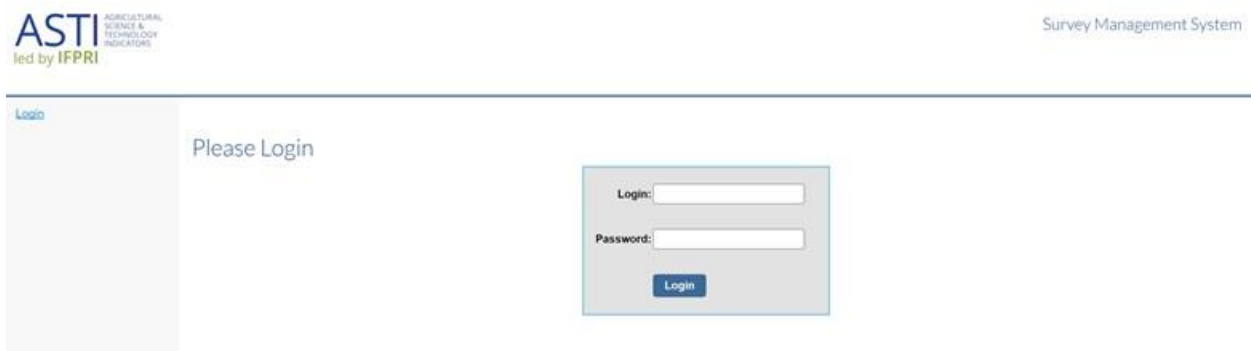
<https://www.asti.cgiar.org/connect>

Click on “**Manage Surveys**” in the top blue menubar.



Unfortunately, the system currently requires a separate login from ASTI Connect. In the future, only one login will be needed; however, for now we recommend that you set up your passwords to be the same for both so that it is easier to remember.

Initially, your login and password will be provided by an ASTI team member.



Once you are logged in, select your preferred language in the upper right-hand dropdown menu.

- Main Menu
- Agencies
- Upload Survey
- Survey Progress
- Information
- Account
- Feedback
- Contact ASTI

### Welcome

This survey management system will allow you to manage the surveys for agencies involved in your country's current ASTI survey round.

The Agencies page shows the full list of agencies. Click on an agency to view its details and generate either an online survey link or download an Excel survey.

On the Upload Survey page, you can upload Excel files to submit them to ASTI for processing.

The Survey Progress page allows you to see the latest uploaded surveys and surveys submitted online. The "Status" indicates whether the survey has been processed by ASTI and whether any follow up may be needed.

Thank you very much for your collaboration with ASTI and your patience while we develop this new system. If you have any comments or suggestions, please do not hesitate to send them to [asti@cgiar.org](mailto:asti@cgiar.org) or an ASTI team member.

To change your password, go to: <http://dataportal.asti.cgiar.org/portal/account>

## 2.2 AGENCY LIST

To see the list of agencies, click on “**Agencies**” on the left-hand side menu. Clicking on the agency name will show details about the agency, and also any surveys that have been submitted for that agency. If an agency is missing, please contact an ASTI team member.

- Main Menu
- Agencies
- Upload Survey
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- Account
- Feedback
- Contact ASTI

### Agencies

| Acronym   | Organization  |
|-----------|---|
| CUC-FAES  | Chuka University College - Faculty of Agriculture and Environmental Studies   |
| DelMonte  | Del Monte Kenya Ltd.  |
| EABL      | East Africa Breweries Ltd.  |
| EU-BS     | Egerton University - Department of Biological Sciences                        |
| EU-FA     | Egerton University - Faculty of Agriculture                                   |
| EU-FERD   | Egerton University - Faculty of Environment and Resources Development         |
| EU-TIAPD  | Egerton University - Tegemeo Institute of Agricultural Policy and Development |
| EMBUNI-SA | Embu University College - School of Agriculture                               |

The term “**agency**” in the ASTI context may refer to a large agricultural research institute with many research stations or a small faculty department at a university. The level of disaggregation of data within an institute or university depends on a number of factors, including availability and quality of data that can be collected at that level. Please discuss with an ASTI team member any major changes to the structure of institutes or universities and whether any changes also need to be made to the agencies associated with them. Should an agency no longer be conducting agricultural research, please inform the ASTI team member of the last year of research.

In the context of this user guide, we refer to the person that you expect to complete the survey on behalf of an agency as an “**agency contact**”. In some cases, your agency contact may actually represent

several institute research centers or several departments at a university, each defined as a separate agency. In these cases, it is especially important to follow the instructions below to generate individualized surveys for each defined agency.

### **2.3 AGENCY SURVEY TEMPLATES**

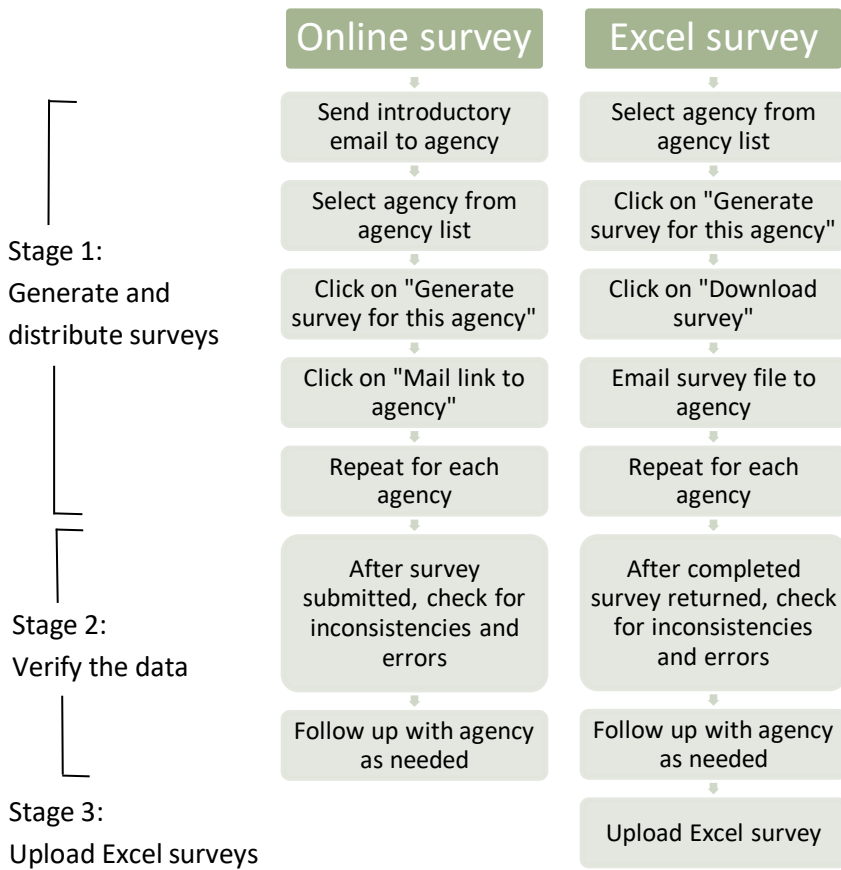
Please note that there are 3 to 5 survey templates available per country:

- Government and nonprofit (Long form)
- Higher education (Long form)
- Private
- Government and nonprofit (Short form – not available in some countries)
- Higher education (Short form – not available in some countries)

The system has been programmed so that each agency has already been assigned the appropriate survey template. Should a survey template appear to be incorrect for an agency, please contact an ASTI team member.

### 3 SURVEY IMPLEMENTATION PROCESS

Two options are available to generate a survey for an agency: online and Excel. This section will review the steps involved in generating, distributing, and validating surveys depending on the chosen option, as broadly outlined in the figure below:



## OPTION 1: ONLINE SURVEY

### STAGE 1. GENERATE AND DISTRIBUTE SURVEYS

The **online survey** is distributed by generating an email that contains an individualized survey link for each agency.

First, we suggest that you send an introductory email from your own email account to your agency contact before generating an online survey link email. While you will be cc'ed on the survey link email, the email will appear to be sent from [noreply@asti.cgiar.org](mailto:noreply@asti.cgiar.org) and the text is standardized. Therefore, an introductory email would help to alert your agency contact to expect the online survey link and allow you to give further details pertaining to the survey round in your country.

**Hint:** Please encourage respondents or feel free yourself to use the comment box at the bottom of each page of the survey to explain any data issues. In particular, any time there is an unusual change in the data, it is useful to know why (for example large increases or decreases from year to year, any major institutional changes, a sudden drop in the number of researchers, or exceptional increases in expenditures, etc.)

To generate an online survey link email, select an agency from the [agency list](#).

Click on the right-hand link **“Generate survey for this agency”**.

The screenshot shows the ASTI Survey Management System interface. The top left features the ASTI logo (Agricultural Science & Technology Indicators) and the text 'led by IFPRI'. Below this, it states 'You are logged in as Kenya Agricultural and Livestock Research Organization (KALRO) - Logout'. The top right corner displays 'Survey Management System' and 'Language: English'. On the left side, there is a 'Main Menu' with links for 'Agencies', 'Upload Survey', and 'Survey Progress', and an 'Information' section with links for 'Account', 'Feedback', and 'Contact ASTI'. The main content area is titled 'Agency' and shows details for 'Kenya Forestry Research Institute'. A table lists the following details:

|                     |   |
|---------------------|---|
| AgencyID            | 239   |
| Acronym             | KEFRI   |
| Organization        | Kenya Forestry Research Institute                 |
| Country             |   |
| Email               |   |
| Address             |   |
| Telephone           |   |
| Fax                 |   |
| Website             | <a href="http://kefri.org/">http://kefri.org/</a> |
| Supervising Agency  |   |
| Agencytype          | Government  |
| Language            | en  |
| First research year | 1996  |
| Contact Name        |   |
| Contact Email       |   |
| Contact Phone       |   |
| Contact Fax         | None  |

To the right of the table, a link labeled 'Generate survey for this agency' is circled in red.

Click on **“Mail to agency”**.



- Main Menu
- Agencies
- Upload Survey
- Survey Progress
- Information
- Account
- Feedback
- Contact ASTI

## Generate Survey

### Surveys

| ID   | Title                                  | Status   | Changed             |                                |                                 |
|------|--|----------|---------------------|--------------------------------|---------------------------------|
| 1878 | SSA 2017-Government and Nonprofit-Long | assigned | 0000-00-00 00:00:00 | <a href="#">Mail To Agency</a> | <a href="#">Download Survey</a> |

Enter your own name and email and the name and email of the agency contact person in the pop-up box.

These steps should be repeated for each agency. Return to the agency list, and repeat the instructions above, generating an email with individualized survey link for each agency.

**IMPORTANT – Survey links are generated for a specific agency only. An email with an online survey link should not be forwarded to a different agency than the one originally intended.**

The online survey replicates the structure of the Excel version, with a few additions. Clicking on the online survey link will lead to a Welcome page. On this page, the respondent may choose to download an Excel file, either for reference purposes, or to complete instead of the online survey.

### Welcome to the ASTI Survey

This survey collects information on agricultural research investments, human resources, and outputs. Providing data for your organization will help to illustrate trends and gaps in your country's agricultural research system, inform decision making, and set agricultural research priorities that ultimately lead to greater food security, better nutrition, and higher incomes.

For more details on the survey purpose, scope, and outputs, please proceed to the Introduction.

If you prefer to complete and submit this survey as an Excel file, please click here.

Please note, completing the survey online rather than in Excel saves time and reduces errors. In the online survey, you will be able to compare new data with the data received from your organization in earlier survey rounds.

We thank you for your participation.

[Start the Survey](#)

The respondent can proceed through the sections of the survey by clicking on the large green arrows on the upper right-hand side of the sections. Data is automatically saved as the respondent proceeds through the sections.

## DEFINITIONS & GUIDELINES



**KEY DEFINITIONS AND GUIDELINES**

The following definitions are important to complete this survey form:

**Agriculture**

- **Includes** crops, livestock, forestry, fisheries, natural resources, and the socioeconomic aspects of primary agricultural production.
- Also includes **on farm** storage and processing of agricultural products.
- Excludes postharvest or food processing research **off farm**.

**Research and Development (R&D)**

- **Research** is the creative work and original investigation undertaken on a systematic basis to gain knowledge.

If the agency participated in a previous survey round, agency details in Section A of the survey will be pre-populated with data. In other sections, previous years' data can be viewed for some questions by clicking on **"Show Historical Data"**.

**B2. Researchers (including research managers) by highest education level, 2015–2016**

[Show Historical Data](#)

|                     | Number (headcount) |      |
|---------------------|--------------------|------|
|                     | 2015               | 2016 |
| <b>Doctorates*</b>  | 50                 | 50   |
| <b>Masters**</b>    | 50                 | 50   |
| <b>Bachelors***</b> | 50                 | 50   |
| <b>Total</b>        | 150                | 150  |

On the left-hand side, a **Menu** button (green tab with three white dots) allows the respondent to navigate to different sections of the survey and, importantly, to submit the survey.

**Section A**  
SECTION A. INSTITUTIONAL DETAILS (questions A1-A11)

INTRODUCTION  
DEFINITIONS & GUIDELINES  
INDEX  
X **Section A**  
X Section B  
X Section C  
X Section D  
X Section E  
Submit Survey

Name of organization  
Kenya Forestry Research Institute

A2. Address

Index  
Validate  
Share

On the right-hand side, the **"Index"** button returns the respondent to the Index, from which sections and questions can be accessed.

Pop-up boxes and red error messages will alert the respondent to data problems and unanswered questions. The respondent may also click the **"Validate"** button to check the data.

At many agencies, it is possible that the respondent may wish to ask another colleague for the information needed to be able to complete certain questions. The respondent may **"Share"** a section of the survey by clicking on the button and filling in the email of the person they wish to send it to.

**IMPORTANT – Once the last section of the survey is completed, clicking on the green arrow will bring up a validation page. This validation page is also accessible by clicking on “Submit Survey” in the left-hand menu. The validation page will note any sections that are incomplete or have errors. When the survey is finalized, the respondent should then click on the button “Submit survey to ASTI” on this page to send the completed survey to the system for you to be able to review it.**

Submit

- Home
- INDEX
- ✓ Section A
- ✓ Section B
- ✓ Section C
- ✓ Section D
- ✓ Section E

You can now submit the survey.

Finalize

When you finished the entire survey or you have no more data available to add, please click the "Submit survey to ASTI" button to finalise this survey.

Please collect as much data as possible before submitting this survey.

Thank you.

Submit survey to ASTI

## STAGE 2. VERIFY THE DATA

Click on “**Survey Progress**” on the left-hand side menu. When an agency has submitted a completed online survey, you will see the survey listed with a “**Pending**” status.

Click on the survey name to view the completed survey.

- Main Menu
- Agencies
- Upload Survey
- Survey Progress
- Information
- Account
- Feedback
- Contact ASTI

## Survey Progress

This page is showing all agencies and survey status.

Status overview per survey

Show only surveys for:

| Date                   | Status     | Agency     | Survey                                   | Messages |
|------------------------|------------|------------|--|----------|
| 2016-02-22<br>01:56:27 | Processing | UoN-FVM    | Kenya 2014-Higher Education-Long         |          |
| 2016-02-17<br>07:46:46 | Processing | UoN-FA     | Kenya 2014-Higher Education-Long         |          |
| 2015-12-14<br>02:31:52 | Processing | SEKU-SWRST | Kenya 2014-Higher Education-Short        |          |
| 2015-12-04<br>07:23:38 | Processing | KALRO-KARI | Kenya 2014-Government and Nonprofit-long |          |

The submitted survey can also be viewed by returning to the agency details page and clicking on the survey generation link. Clicking on “Open” will allow you to view the survey.

- Main Menu
- Agencies
- Upload Survey
- Survey Progress
- Information
- Account
- Feedback
- Contact ASTI

## Generate Survey

### Surveys

| ID   | Title                                  | Status | Changed                |                |      |                 |
|------|--|--------|------------------------|----------------|------|-----------------|
| 1878 | SSA 2017-Government and Nonprofit-Long | open   | 2017-04-25<br>22:49:05 | Mail To Agency | Open | Download Survey |

The online survey has various checks built in to help indicate where there are problems:

- A red explanatory note will appear automatically under some (but not all) of the questions if inconsistent data are provided.
- A pop-up box will inform the respondent if there are data missing or data errors in the section when they attempt to proceed to another section.
- All data cells should be completed even if the value is zero. Cells should be left blank only if data are not available.
- The Index page lists the various sections and questions and indicates whether they have been completed. A green tick mark (✓) indicates the section has been completed.

Please see Annex 2 for a list of common survey errors.

## OPTION 2: EXCEL SURVEY

### STAGE 1. GENERATE AND DISTRIBUTE SURVEYS

Select an agency from the [agency list](#).

On the agency details page, click on the right-hand link “**Generate survey for this agency**”.

ASTI AGRICULTURAL SCIENCE & TECHNOLOGY INDICATORS  
led by IFPRI  
You are logged in as Kenya Agricultural and Livestock Research Organization (KALRO) - Logout

Survey Management System  
Language: English

Main Menu  
Agencies  
Upload Survey  
Survey Progress

Information  
Account  
Feedback  
Contact ASTI

### Agency

Agencies » Kenya Forestry Research Institute

#### Details

|                     |   |
|---------------------|---|
| AgencyID            | 239   |
| Acronym             | KEFRI   |
| Organization        | Kenya Forestry Research Institute                 |
| Country             |   |
| Email               |   |
| Address             |   |
| Telephone           |   |
| Fax                 |   |
| Website             | <a href="http://kefri.org/">http://kefri.org/</a> |
| Supervising Agency  |   |
| Agencytype          | Government  |
| Language            | en  |
| First research year | 1986  |
| Contact Name        |   |
| Contact Email       |   |
| Contact Phone       |   |
| Contact Fax         | None  |

[Generate survey for this agency](#)

Click on “**Download Survey**” to download an Excel survey for a specific agency.

ASTI AGRICULTURAL SCIENCE & TECHNOLOGY INDICATORS  
led by IFPRI  
You are logged in as Kenya Agricultural and Livestock Research Organization (KALRO) - Logout

### Generate Survey

#### Surveys

| ID   | Title                                  | Status   | Changed             |                                |                                 |
|------|--|----------|---------------------|--------------------------------|---------------------------------|
| 1878 | SSA 2017-Government and Nonprofit-Long | assigned | 0000-00-00 00:00:00 | <a href="#">Mail To Agency</a> | <a href="#">Download Survey</a> |

Return to the agency list. Click on each agency and repeat the above steps to download customized surveys for each agency. You should then email the Excel surveys individually to your agency contacts using your own email account.

**IMPORTANT – Surveys are generated for a specific agency only. An identifying code is assigned to the survey so that the system recognizes the agency when the survey is uploaded. Each survey should be downloaded individually for each agency, or otherwise the system will not recognize the correct agency once uploaded. Survey forms are also customized to the institutional type of the agency, and whether it should be Long form or Short form. The same Excel file should not be sent to multiple agencies.**

**IMPORTANT – Downloaded Excel surveys should not be altered in their structure in any way. No worksheets, sections, columns, rows, or text (in the preset fields) should be added or deleted. Modifying the survey template in Excel will result in errors when uploading. If there is an error in the template that must be corrected before sending to any agency, please contact an ASTI team member to fix it in the system first.**

Hint: Please encourage respondents or feel free yourself to use the comment box at the bottom of each page of the survey to explain any data issues. In particular, any time there is an unusual change in the data, it is useful to know why (for example large increases or decreases from year to year, any major institutional changes, a sudden drop in the number of researchers, or exceptional increases in expenditures, etc.)

## STAGE 2. VERIFY THE DATA

When you receive an Excel survey back from an agency, please review it and check for missing data and inconsistencies, and follow up with the agency contact person if needed.

The Excel survey has a number of checks built in to help indicate where there are problems:

- A red explanatory note will appear automatically under some (but not all) of the questions if inconsistent data are provided.
- When all of the requested data are entered in a certain question, the red checkbox to the right of the question will turn green; if it remains red, data are still missing.
- All yellow cells should be completed even if the value is zero. Cells should be left blank only if no data are available.
- The index page lists the various sections and questions. The word "Check" means that the question has not been answered or that the data provided show some inconsistencies. The word "OK" means that the question has been answered.

Please see Annex 2 for a list of common survey errors.

## STAGE 3. UPLOAD COMPLETED SURVEYS

Once participating agencies have returned their completed Excel survey forms to you, and you have checked the data for any inconsistencies and/or omissions, you can upload the files in the system one at a time. You do not need to wait for the full set of completed surveys before the upload process can

begin. This way, ASTI can already start processing the surveys and following up with any major inconsistencies or omissions, should this be necessary.

1. **Click on “Upload Survey”** on the left-hand side menu

The screenshot shows a web interface for uploading surveys. On the left is a navigation menu with the following items: 'Main Menu', 'Agency', 'Upload Survey' (circled in red), 'Survey Progress', 'Information', 'Account', 'Feedback', and 'Contact ASTI'. The main content area is titled 'Upload Survey' and contains the following elements: a sub-header 'Submit survey to ASTI', the instruction 'Select the survey you would like to submit:', a 'Choose File' button with the text 'No file chosen', a text box with the prompt 'If you wish to add a note for ASTI to this survey please type it here: (optional)', a large empty text input field, the instruction 'Next press the Upload button and wait for your survey to be uploaded to the server for further processing.', and a blue 'Upload' button.

2. **Click on “Choose File”** and select the file from your computer

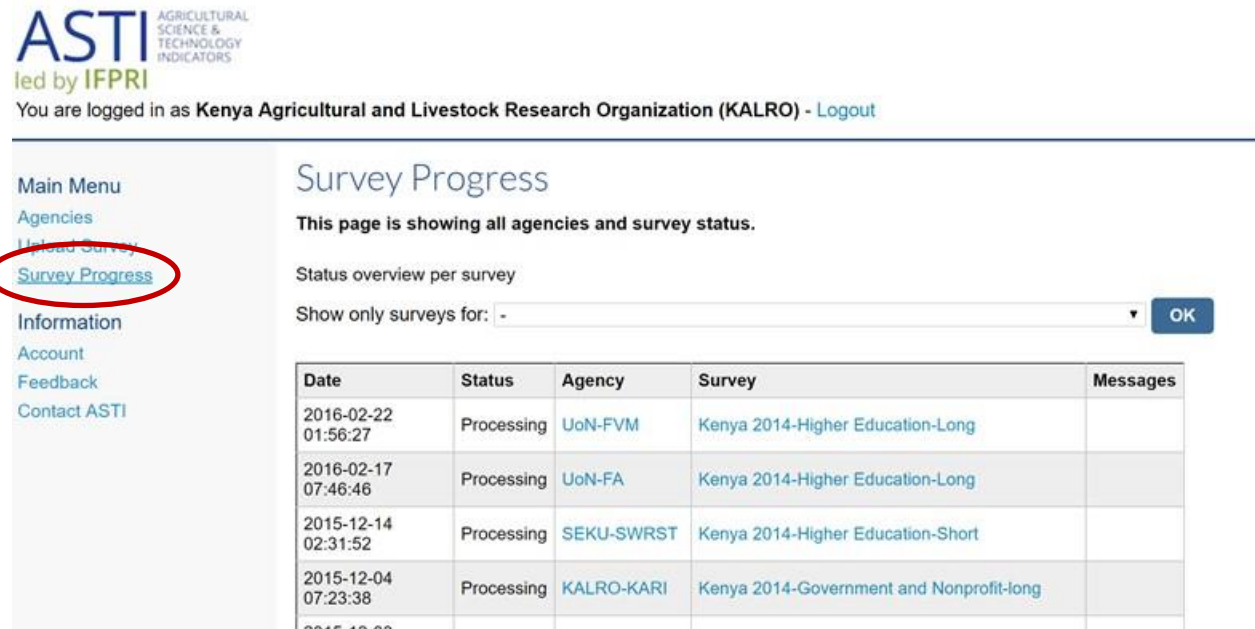
Notes can be added in the text box if you wish. For example, if a survey is only partially completed, it would be helpful to note that information here.

3. **Click on “Upload”**

Sometimes the system cannot detect the agency name. In this case, select the correct agency name from the list provided. Other times, the agency name is incorrectly detected. In this case, continue with the upload and let an ASTI team member know that the agency name needs to be fixed.

## 4 MONITORING SURVEY PROCESSING

To see the current processing status of submitted and uploaded surveys, click on “**Survey Progress**” on the left-hand side menu.



ASTI AGRICULTURAL SCIENCE & TECHNOLOGY INDICATORS  
led by IFPRI  
You are logged in as Kenya Agricultural and Livestock Research Organization (KALRO) - Logout

Main Menu  
Agencies  
Upload Survey  
**Survey Progress**  
Information  
Account  
Feedback  
Contact ASTI

### Survey Progress

This page is showing all agencies and survey status.

Status overview per survey

Show only surveys for:

| Date                   | Status     | Agency     | Survey   | Messages |
|------------------------|------------|------------|--|----------|
| 2016-02-22<br>01:56:27 | Processing | UoN-FVM    | <a href="#">Kenya 2014-Higher Education-Long</a>         |          |
| 2016-02-17<br>07:46:46 | Processing | UoN-FA     | <a href="#">Kenya 2014-Higher Education-Long</a>         |          |
| 2015-12-14<br>02:31:52 | Processing | SEKU-SWRST | <a href="#">Kenya 2014-Higher Education-Short</a>        |          |
| 2015-12-04<br>07:23:38 | Processing | KALRO-KARI | <a href="#">Kenya 2014-Government and Nonprofit-long</a> |          |
| 2015-12-03             |            |            |  |          |

“**Pending**” indicates that an online survey has been submitted or an Excel survey has been uploaded.

“**Processing**” indicates that an ASTI team member has reviewed the survey and has authorized the data to be added to the main database.

“**Duplicate**” indicates that multiple versions of the same survey form were submitted. Surveys marked “Duplicate” should be ignored, the survey chosen to be processed for that agency will have one of the other status types.

“**Follow-up**” should be accompanied by a note in the Messages column from an ASTI team member, describing the problems with the survey.

Click on an agency name to see more details about the agency. Click on the survey name to see the online version of the survey. Uploaded Excel surveys will be converted into a completed online survey.



## ANNEX 1. FREQUENTLY ASKED QUESTIONS

*Does every responding agency get its own login and password to the system?*

No, only the ASTI Focal Point has access to ASTI Connect and the Survey Management System. Agencies may only view their own survey through the survey link that they are given.

*What if I forget my password?*

Contact an ASTI team member to reset the password.

*What if I want to correct a mistake in a survey I have already uploaded?*

Contact an ASTI team member. If most surveys are in the “Pending” stage, you may be asked to submit or upload the corrected survey. In other cases, if most surveys are already in the “Processing” stage, and the corrections are minor, it may be easier for the ASTI team member to make the changes directly in the database.

*What if one section of the survey is finished but I don't have responses yet for other sections?*

Contact an ASTI team member. If it is likely that you will get the remaining sections soon, it is better to wait for the complete survey. If the survey round is close to being finalized, it is better to submit/upload the survey so that there is at least some data for that agency in the system.

*What if I get an error message when I submit or upload a survey?*

Please do not submit or upload the survey again. Contact the ASTI team member. The “Survey Progress” page can also be checked to see whether the survey went through. Usually, despite the error message, the survey is in the system.

## ANNEX 2. COMMON ERRORS

The system will accept incomplete surveys even with error messages. However, it is best to try to resolve the errors before submitting or uploading. Some of the most common reasons for error messages include:

- General: Data fields left empty. All boxes must be filled in so that the database can distinguish between an answer of '0' and a box left blank because of lack of data. The checks encourage each box to be filled in, even when the answer is '0'.
- Human Resources: The total number of researchers by degree by age group does not match total number of researchers by degree.
- Human Resources: Technical support staff duplicates researcher data (meaning that an individual should be counted either as a researcher or technical support staff, but not be counted in both).
- Human Resources: Number of female researchers by degree exceeds the number of total researchers by degree. Number of female technicians by degree exceeds number of total technicians by degree.
- Human Resources: Total number of female researchers by age group does not equal total number of female researchers. Number of female researchers by age group exceeds the total number of researchers by age group.
- Financial Resources: Expenditures and funding do not match (does not need to exactly match, but the numbers should be relatively close).
- Commodity Focus: Total does not equal 100%.