

Comparative Study of Electoral Systems (CSES)
Module 4: Design Report (Sample Design and Data Collection Report)

September 10, 2012

Country:	South Africa
Date of Election:	7 May 2014
Prepared by:	Robert Mattes, Collette Schulz Herzenberg and Matthias Krönke
Date of Preparation:	16 September 2016

NOTES TO COLLABORATORS:

- Where brackets [] appear, answer by placing an “X” within the appropriate bracket or brackets.
- If more space is needed to answer any question, please lengthen the document as necessary.

Collaborator(s):

Collaborators are the contact persons for election studies that appear in the CSES dataset - they are not necessarily the parties who collected the data. These collaborators and their contact information will be listed on the CSES website.

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Data Collection Organization:

Organization that conducted the survey field work/data collection:

Organization:
Citizen Surveys

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Funding Organization(s):

Organization(s) that funded the data collection:

Organization:
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Archiving Organization

If appropriate, please indicate the primary location where the full, original election study dataset (not just the CSES portion) will be archived:

Organization:
DataFirst Resource Unit
University of Cape Town

Address:
Private Bag
Rondebosch 7701

Telephone: +27-21-650-5708
Fax: +27-21-650-5709
E-Mail: info@datafirst.org
Website: www.datafirst.uct.ac.za

Please indicate the date when the study is expected to be available at this archive:

March 2017?

Study Design

1. Timing of the study that the CSES Module was included in:

- ☒ [X] Post-Election Study
- ☐ [] Pre-Election/Post-Election Panel Study
- ☐ [] Between Rounds

2a. Date Post-Election Interviewing Began:

2 February 2015

2b. Date Post-Election Interviewing Ended:

26 February 2015

3. Mode of interviewing for the post-election survey in which the CSES Module appeared:
(If multiple modes were used, please mark all that apply.)

- ☒ [X] In person, face-to-face
- ☐ [] Telephone
- ☐ [] Mail or self-completion supplement
- ☐ [] Internet

4a. Was the survey part of a panel study?

- ☐ [] Yes
- ☒ [X] No

4b. If the survey was part of a panel study, please describe the design of the panel study, including the date at which interviewing for each prior wave began and ended:

N/A

Translation

Please provide copies of questionnaires in all languages used as part of the election study deposit. For questionnaires in a language other than English, please also provide a version of each translated back into English. Note: Questions are based on those developed for the ISSP.

5. Was the questionnaire translated?

- ☐ Yes, translated by member(s) of research team
- ☐ Yes, by translation bureau
- ☒ Yes, by specially trained translator(s)
- ☐ No, not translated

6. Please list all languages used for the fielded module:

English
Afrikaans
Ndebele
IsiXhosa/Xhosa
SePedi/North Sotho
SeSotho/South Sotho
Setswana/Tswana
Shangaan
Swazi
Venda
IsiZulu/Zulu

7a. If the questionnaire was translated, was the translated questionnaire assessed/checked or evaluated?

- ☐ Yes, by group discussion
- ☐ Yes, an expert checked it
- ☒ Yes, by back translation
- ☐ Other; please specify: _____
- ☐ No
- ☐ Not applicable

7b. If the questionnaire was translated, was the questionnaire pre-tested?

- ☒ Yes

- ☐ No
☐ Not applicable

7c. If the questionnaire was translated, were there any questions which caused problems when translating?

- ☐ Yes
☒ No
☐ Not applicable

7d. If the questionnaire was translated, please provide a list of all questions which caused problems when translating. For each question listed, describe what problems were encountered and how they were solved:

None

Sample Design and Sampling Procedures

8. Please describe the population that your sample is meant to be representative of:

South African adult population, 18yrs and older

Eligibility Requirements

9a. Must a person be a certain age to be interviewed?

- ☒ Yes
☐ No

If yes, what ages could be interviewed?

18

9b. Must a person be a citizen to be interviewed?

- ☒ Yes
☐ No

9c. Must a person be registered to vote to be interviewed?

- ☐ Yes
☒ No

9d. Please list any other interviewing requirements or filters used:

None

Sample Frame

10a. Were any regions of the country excluded from the sample frame?

☐ Yes

☒ No

10b. Were institutionalized persons excluded from the sample?

☒ Yes

☐ No

If yes, what percent of the total eligible population did this exclude from the sample frame? _____0,29 %

If yes, please explain:

159 563

at 31.3.2015 (*national prison administration*)

<http://www.prisonstudies.org/country/south-africa>

10c. Were military personnel excluded from the sample?

☒ Yes

☐ No

If yes, what percent of the total eligible population did this exclude from the sample frame? _____0,14__ %

If yes, please explain:

Active Personnel: 78707

10d. If interviews were conducted by telephone, what is the estimated percentage of households without a phone? _____ %

N/A

10e. If interviews were conducted by telephone, were unlisted telephone numbers included in the population sampled?

☐ Yes

☐ No

N/A

10f. Were other persons excluded from the sample frame?

☐ Yes

☒ No

N/A

10g. Please estimate the total percentage of the eligible population excluded from the sample frame: _____0,43 %

Sample Selection Procedures

11. Please describe, in your own words, how the sample for the study was selected. If the survey is part of a panel study, please also describe the original sample, from the beginning of the study.

The sample was a random, nationally representative, stratified, area probability cluster sample.

12a. What were the primary sampling units?

Census enumerator areas (EAs)

12b. How were the primary sampling units selected?

Random, with probability proportionate to population size.

12c. Were the primary sampling units randomly selected?

☒ Yes

☐ No

Please explain how the units were randomly selected. If the units were not randomly selected, please provide a justification for why the units were not randomly selected.

All EAs were stratified by 1) Province, 2) Urban/Rural and 3) Race. Following that, there a random selection from these 72 lists took place.

13. Were there further stages of selection?

☒ Yes

☐ No

Within each EA, a skip interval of 10 dwellings to select a household was used. That is, walking in a designated direction away from the start point, selecting the 10th household for the first interview, counting dwellings on both the right and the left (and starting with those on the right if they are opposite each other).

13a. If there were further stages of selection, what were the sampling units at each of the additional stages?

Once the household is chosen, the Interviewer must randomly select the individual respondent within the household who will be interviewed (altering gender quota)

13b. If there were further stages of selection, how were the sampling units selected at each of the additional stages?

N/A

13c. If there were further stages of selection, were units at each of these stages randomly selected?

☐ Yes

☐ No

N/A

14a. How were individual respondents identified and selected in the final stage?

Fieldworkers begin at a random starting points that has been marked on a map of the enumerator area. Moving in different directions, each interview stops at the 10th house. The household is then enumerated for all adult 18 years and over, numbered cards are assigned to each member, and the head of household selects one of these cards randomly.

14b. Could more than one respondent be interviewed from a single household?

☐ Yes

☒ No

15. Did the sample design include clustering at any stage?

☒ Yes

☐ No

If yes, please describe: 4 interviews were conducted at each selected enumerator area

16. Did the sample design include stratification?

Definition: Stratification involves the division of the population of interest according to certain characteristics (for instance: geographic, political, or demographic). Random selection then occurs within each of the groups that result.

☒ Yes

☐ No

If yes, please describe (please include the list of characteristics used for stratification):

Primary sampling units were stratified by Province (9), Rural/Urban status (2), and dominant race group using apartheid era categories (4), creating 72 strata

17. Was quota sampling used at any stage of selection?

☒ Yes

☐ No

If yes, please describe:

Every other interview must be conducted with a female

18. Was substitution of individuals permitted at any stage of the selection process or during fieldwork?

☒ Yes

☐ No

If yes, please describe:

If the household is vacant, if the household refuses to participate, if the selected person refuses, or if the selected respondent is not available after two callbacks, interviewers are instructed to move to the next house in the walk pattern (i.e. every tenth house). They are not permitted to substitute within a household

19. Under what circumstances was a household designated non-sample? Please check all that apply:

☐ Non-residential sample point

☒ All members of household are ineligible

☒ Housing unit is vacant

☒ No answer at housing unit after ____2____ callbacks

☐ Other (Please explain):

Selected person not available after 2 callbacks.

20. Were non-sample replacement methods used?

☐ Yes

☒ No

Please describe:

If the household is vacant, if the household refuses to participate, if the selected person refuses, or if the selected respondent is not available after two callbacks, interviewers are instructed to move to the next house in the walk pattern (i.e. every tenth house). They are not permitted to substitute within a household

21a. For surveys conducted by telephone, was the sample a random digit dial (RDD) sample?

☐ Yes

☐ No

N/A

21b. For surveys conducted by telephone, was the sample a listed sample?

☐ Yes

☐ No

21c. For surveys conducted by telephone, was the sample a dual frame sample?

☐ Yes

☐ No

N/A

If yes, what % list frame_____ and what % RDD_____

22. For surveys conducted by mail, was the sample a listed sample?

☐ Yes

☐ No

Please describe:

N/A

23. For surveys conducted on the Internet, did any respondents self-select into the survey?

☐ Yes

☐ No

N/A

Incentives

24a. Prior to the study, was a letter sent to the respondent?

☐ Yes

☒ No

24b. Prior to the study, was a payment sent to the respondent?

☐ Yes

☒ No

24c. Prior to the study, was a token gift sent to the respondent?

☐ Yes

☒ No

24d. Did respondent receive an additional payment after their participation? (Do not include any payment made prior to the study.)

☐ Yes

☒ No

24e. Were any other incentives used?

☐ Yes

☒ No

Interviewers

25. Please describe the interviewers (e.g., age, level of education, years of experience):

Interviewers range between 25 and 60 years of age, all have high school matriculation, and have long term relationships with the survey company.

26. Please provide a description of interviewer training:

The principal investigators met in Cape Town with the senior field management team, and field supervisors from around the country, and went over the questionnaire question-by question. Then provincial managers repeated the training with each of their team of interviews in 9 different provincial centers.

Contacts

27a. What was the average number of contact attempts made per household, for the entire sample?

Contact data not available

27b. For households where contact was made, what was the average number of contact attempts prior to first contact?

An average of calls to the actual household interviewed

27c. During the field period, how many contacts were made with the household before declaring it a **non-sample**?

1 if household refused
2 callbacks if not at home

28d. During the field period, how many contacts were made with the household before declaring it a **non-interview**?

28e. During the field period, what were the maximum number of days over which a household was contacted?

Data not available, but probably two at most

28f. During the field period, did interviewers vary the time of day at which they re-contacted the household?

☒ Yes
☐ No

Yes, if the initial contact was unsuccessful, a mutually convenient time was agreed upon.

Refusal Conversion

29a. Were efforts made to persuade respondents who were reluctant to be interviewed?

☐ Yes

☒ No

29b. Were respondents who were reluctant to be interviewed sent a letter persuading them to take part?

☐ Yes

☒ No

(If yes, please provide a copy of the letter or letters.)

29c. Was payment offered to respondents who were reluctant to take part?

☐ Yes

☒ No

29d. Were respondents who were reluctant to take part turned over to a more experienced interviewer?

☐ Yes

☒ No

29e. What was the maximum number of re-contacts used to persuade respondents to be interviewed?

N/A

29f. Were any other methods used to persuade respondents reluctant to be interviewed to take part?

☐ Yes

☒ No

Interview/Survey Verification

Definition: Interview/survey verification is the process of verifying that an interview was conducted and that the survey was administered to the correct respondent, for quality control purposes.

30. Was interview/survey verification used?

☒ Yes

☐ No

If yes, please describe the method(s) used:

Random back checks conducted either by field supervisor before team left area, or by phone from central office

If yes, please indicate the percent of completed surveys that were verified:

38,7 % (503 respondents)

Random telephonic back checks

Response Rate

Note: If multiple modes of interviewing were used for the post-election survey in which the CSES Module appeared, please repeat the following questions as appropriate for each of the modes used.

31. What was the response rate of the survey that the CSES Module appeared in? Please show your calculations. (If the CSES Module appeared in a panel study, please report the response rate of the first wave of the study, even if the CSES Module did not appear in that wave.)

34%

Original household interviewed	$613 \times 1 = 613$
2 nd household contacted interviewed	$200 \times 2 = 400$
3 rd household contacted interviewed	$144 \times 3 = 432$
4 th household contacted interviewed	$94 \times 4 = 376$
5 th household contacted interviewed	$65 \times 5 = 325$
6 th household contacted interviewed	$52 \times 6 = 312$
7 th household contacted interviewed	$36 \times 7 = 252$
8 th household contacted interviewed	$23 \times 8 = 184$
9 th household contacted interviewed	$16 \times 9 = 144$
10 th household contacted interviewed	$14 \times 10 = 140$
11 th household contacted interviewed	$11 \times 11 = 121$
12 th household contacted interviewed	$3 \times 12 = 36$
13 th household contacted interviewed	$8 \times 13 = 104$
14 th household contacted interviewed	$4 \times 14 = 56$
15 th household contacted interviewed	$2 \times 15 = 30$
16 th household contacted interviewed	$3 \times 16 = 48$
17 th household contacted interviewed	$1 \times 17 = 17$

18 th household contacted interviewed	1 x 18 = 18
19 th household contacted interviewed	3 x 19 = 57
20 th household contacted interviewed	6 x 20 = 120

3785 contacts for 1300 interviews = 0.34

32. Please provide the following statistics for the survey that the CSES Module appeared in. (If the CSES Module appeared in a panel study, please report the statistics for the first wave of the study, even if the CSES Module did not appear in that wave.)

A. Total number of households in sample:	1300
B. Number of valid households:	1300
C. Number of invalid (non-sample) households:	0
D. Number of households of unknown validity:	0
E. Number of completed interviews:	1300
F. Number of partial interviews:	0
G. Number of refusals and break-offs:	0
H. Number non-contact (never contacted):	0
I. Other non-response:	0

The sum of B+C+D should equal the value of A. If not, please describe why:

If statistic D (number of households of unknown validity) has a value greater than zero (0), please estimate the proportion of households of unknown validity that are valid:

The sum of E+F+G+H+I should equal the value of B. If not, please describe why:

If statistic I has a value greater than zero (0), please describe what cases fall into this category:

33. If the CSES Module appeared in a panel study, how many waves were conducted prior to the wave that included the CSES Module?

N/A

34. If the CSES Module appeared in a panel study, what was the total panel attrition between the first wave of the study and the wave that included the CSES Module? Please show your calculations.

N/A

35. If the CSES Module appeared in a panel study, please provide the number of completed interviews for the wave that included the CSES Module:

N/A

36. If the CSES Module appeared in a panel study, please provide the following statistics for panel attrition by age and education. In each cell, indicate the percent of all completed interviews in each category for the indicated wave.

N/A

Post-Survey Adjustment Weights

37. Are weights necessary to make the sample representative of the population being studied?

☒ Yes

☐ No

If yes, please explain:

People living in Northern Cape province, and coloured and Indian race group members were oversampled and then weighted downward. Other variables (e.g. household size) also used to adjust for any discrepancies between the original and realized sample

38. Are weights included in the data file?

☒ Yes

☐ No

39. If weights are included in the data file, please describe in detail how the weights were constructed:

Yes, Weights are included in the dataset. The use information on Urban/rural, race, age, total people in the household and total people over the age of 18.

Two types of weights are included:

- Benchmarked to 2014 midyear population
- Benchmarked to sample size n=1300

40a. If weights are included in the data file, are the weights designed to compensate for disproportionate probability of selection?

☒ Yes
☐ No

If yes, please describe:

People living in Northern Cape province, and coloured and Indian race group members were oversampled and then weighted downward. Other variables (e.g. household size) also used to adjust for any discrepancies between the original and realized sample

40b. If weights are included in the data file, are the weights designed to match known demographic characteristics of the population?

☒ Yes
☐ No

If yes, please describe:

People living in Northern Cape province, and coloured and Indian race group members were oversampled and then weighted downward. Other variables (e.g. household size) also used to adjust for any discrepancies between the original and realized sample.

40c. If weights are included in the data file, are the weights designed to correct for non-response?

☐ Yes
☒ No

If yes, please describe:

40d. If weights are included in the data file, are the weights designed to correct to the official election results?

☐ Yes
☒ No

41. Comparison of Completed Interviews to Population (please provide as percentages of the total):

USE CENSUS DATA FROM DATAFIRST, CALCULATE FROM DATA SET

Characteristic	<u>Population Estimates (Census 2011)</u>	<u>Completed Interviews</u>	
		<u>Unweighted Distribution</u>	<u>Weighted Distribution (benchmarked to sample size)</u>
<u>Age</u>			

18-25	24,9 %	21 %	24,3 %
26-40	35,3 %	37,5 %	36,1 %
41-64	31,2 %	33,3 %	31,1 %
65 and over	8,6 %	8,2 %	8,6 %
<u>Education</u>			
None	8,3 %	1,8 %	2,6 %
Incomplete Primary	11,9 %	5,8 %	6,6 %
Primary Completed	4,5 %	7,2 %	7,2 %
Incomplete Secondary	34,7 %	38,2 %	39,7 %
Secondary Completed	28 %	21,8 %	21%
Post-Secondary Trade/ Vocational	5,5 %	13,2 %	13%
University Incomplete	2,7 %	7,1 %	6,1 %
University Degree	4 %	4,9 %	3,6 %
<u>Gender</u>			
Male	47,1 %	44 %	42,1 %
Female	52,9 %	56 %	57,9 %

42. Please indicate the source of the population estimates in the prior question. English language sources are especially helpful. Include website links or contact information if applicable.

Census 2011 (10% sample) revised for 2015
http://www.statssa.gov.za/?page_id=1417