

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

September 10, 2012

Country: [Hong Kong Special Administrative Region, CHINA](#)

Date of Election: [9 September 2012](#)

Prepared by: [Li Pang-kwong, Ph.D.](#)

Date of Preparation: [March 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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Name: Title: Organization:  Address:  Telephone: Fax: E-Mail: Website:	Name: Title: Organization:  Address:  Telephone: Fax: E-Mail: Website:

**Data Collection Organization:**

Organization that conducted the survey field work/data collection:

Organization: <a href="#">Public Governance Programme</a> Address: <a href="#">Public Governance Programme</a> <a href="#">Lingnan University</a> <a href="#">Tuen Mun, N.T.</a> <a href="#">Hong Kong</a> Telephone: (852) 2616 7679 Fax: (852) 2469 9441 E-Mail: <a href="mailto:sh2mok@ln.edu.hk">sh2mok@ln.edu.hk</a> Website: <a href="http://www.ln.edu.hk/pgp/">http://www.ln.edu.hk/pgp/</a>
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**Funding Organization(s):**

Organization(s) that funded the data collection:

Organization: Address:  Telephone: Fax: E-Mail: Website:
Organization: Address:  Telephone: Fax: E-Mail: Website:
Organization: Address:  Telephone: Fax: E-Mail: Website:

### **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: Address:  Telephone: Fax: E-Mail: Website:
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Please indicate the date when the study is expected to be available at this archive:

### **Study Design**

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

- Post-Election Study
- Pre-Election/Post-Election Panel Study
- Between Rounds

2a. Date Post-Election Interviewing Began: [13 September 2012](#)

2b. Date Post-Election Interviewing Ended: [21 September 2012](#)

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.)

- In person, face-to-face
- Telephone
- Mail or self-completion supplement
- Internet

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

- Yes
- 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:

**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:

Cantonese and Putonghua.

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: Nil.

### **Sample Design and Sampling Procedures**

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

Registered voters who spoke Cantonese and/or Putonghua.

### **Eligibility Requirements**

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

Yes

No

If yes, what ages could be interviewed? 18 or above (requirement of a registered voters).

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

Yes \* A registered voter in Hong Kong needs to be a Hong Kong permanent resident.

No

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

Yes

No

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

No other interviewing requirements or filters.

## Sample Frame

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

Yes

No

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

If yes, please explain:

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?

Less than 0.3% (The number of prisoners in Hong Kong in 2012 was 13,454 and the total population eligible for voter registration in 2012 was 4,711,900. So the percentage was  $13,454/4,711,900 \times 100\%$  which was less than 0.3%).

Sources: *Hong Kong Annual Digest of Statistics*, 2015 Edition, Table 15.10, p.422,  
<http://www.statistics.gov.hk/pub/B10100032015AN15B0100.pdf>

If yes, please explain:

We only interview those registered voters who have a residential telephone line.

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 %

If yes, please explain: The military personnel in Hong Kong are the People's Liberation Army soldiers. They are not permanent residents of Hong Kong and not eligible for registered voters in Hong Kong. They should not be included in the sample, and be rightly excluded from the sample.

10d. If interviews were conducted by telephone, what is the estimated percentage of households without a phone? 0\* %

Please explain:

\* The survey called fixed-line telephone numbers for interviews. As Hong Kong does not have a statistics for the number of households that do not have fixed-line telephones, a proxy measurement called the residential fixed line penetration rate (RFLPR) is used here, which is the number of fixed-line telephones divided by the number of households in Hong Kong. The RFLPR was 100.6% in 2012 (i.e. for each 100 households, there are 100.6 fixed-line telephone lines). However, there are households with more than one fixed lines, so we do not know the percentage of households without a fixed-line telephone line.

Source: *Hong Kong Annual Digest of Statistics*, 2015 Edition, Table 11.14 (p.422) and Table 1.11 (p.12), <http://www.statistics.gov.hk/pub/B10100032015AN15B0100.pdf>

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

Yes  
 No

If no, what percent of the total eligible population did this exclude from the sample frame?  
\_\_\_\_\_ %

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

Yes  
 No

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

If yes, please explain:

10g. Please estimate the total percentage of the eligible population excluded from the sample frame: Less than 1%

## 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.

Two stages of random sampling were used to ensure the representativeness of the sample:

(1) To select a random sample for the survey, the computer-aided-telephone interviewing (CATI) system automatically generated phone samples from the telephone pool created from the Hong Kong Telephone Directory. The last two digits of the telephone numbers were replaced by two random numbers;

(2) The second stage of random sampling involved the selection of eligible samples within households. The eligible samples were input and the computer would draw one of the eligible samples to be our interviewee.

12a. What were the primary sampling units?

Households.

12b. How were the primary sampling units selected?

See (1) in 11 above.

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.

See (1) in 11 above.

13. Were there further stages of selection?

Yes

No

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

Individuals (registered voters).

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

See (2) in 11 above.

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

See (2) in 11 above.

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

There are two stages of random sampling and there is no additional stage of sampling. See 11 above.

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

Yes

No

If yes, please explain:

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

Yes

No

If yes, please describe:

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):

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

Yes

No

If yes, please describe:

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

Yes

No

If yes, please describe:

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 \_\_\_\_\_ callbacks

Other (Please explain): **We made 5 trials to contact with the respondents at different time and days, and still could not reach any respondents.**

20. Were non-sample replacement methods used?

Yes

No

Please describe:

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

Yes

No

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

Yes \*The last two digits of the sampled telephone numbers are replaced by two random numbers.

No

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

Yes

No

If yes, what % list frame\_\_\_\_\_ and what % RDD\_\_\_\_\_

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

Yes

No

Please describe:

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

Yes

No

Please explain:

## Incentives

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

Yes

No

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

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

Yes

No

If yes, please describe (including amount of payment):

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

Yes

No

If yes, please describe:

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

Yes

No

If yes, please describe (including amount of payment):

24e. Were any other incentives used?

Yes

No

If yes, please describe:

## Interviewers

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

Undergraduate students of Lingnan University who had received basic training in survey interviews and how to conduct telephone surveys *via* the CATI system.

26. Please provide a description of interviewer training:

The interviewer training includes:

- (1) training in basic skills of survey interviews;
- (2) training in how to conduct telephone surveys *via* the CATI system; and
- (3) before this post-election survey, interviewers had accumulated experience in conducting telephone surveys *via* the CATI system by participating in other telephone surveys.

## Contacts

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

An average of 1.69 contact attempts made per each successful interview.

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

No contact attempts made prior to the first contact.

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

5 attempts.

8d. During the field period, how many contacts were made with the household before declaring it a **non-interview**?

At most 2 attempts. When a household refused to be interviewed, it might ask us not to call it again. Then, we would not call it again, and the interview became an unsuccessful one. If it did not ask us not to call it again, we would call it again at a different time on a different day. If it refused to be interviewed again, then we would not call it again, and the interview became an unsuccessful one.

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

5 different days.

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

Yes

No

If yes, please describe: Our data collection period is 4 hours long (6:30 – 10:30 pm) on each day of data collection. The time for next re-contact of the same household on the other day will be two hours earlier or two hours later, whichever feasible.

### Refusal Conversion

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

Yes

No

Please describe: Efforts commonly employed in survey interviews, e.g. to emphasize that participating in the survey would be doing a service to our understanding of the society at large; and to make a second call in different time after one refusal.

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.)

If yes, please describe:

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

Yes

No

If yes, how much?

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?

If a household refused to take part in the survey, we would contact the household the second time at different time.

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

Yes

No

If yes, please describe:

### **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:

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

## 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.)

The response rate = 24.6% [= 1,044 / (1,044 + 900 + 2,307.5) \* 100%].

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:	29,999
B. Number of valid households:	1,944 (= 1,044 + 900)
C. Number of invalid (non-sample) households:	18,926
D. Number of households of unknown validity:	9,129
E. Number of completed interviews:	1,044
F. Number of partial interviews:	20
G. Number of refusals and break-offs:	636
H. Number non-contact (never contacted):	244
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:

25.3% of households of unknown validity are estimated to be valid.

Therefore, an additional of 25.3% \* 9,129 = 2,307.5 households should be included in the denominator of the formula to determine the response rate in Q.31.

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?

Not applicable.

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.

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:

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.

<b>Age</b>	First wave of study	Wave that included CSES
18-25	%	%
26-40	%	%
41-64	%	%
65 and over	%	%

<b>Education</b>	First wave of study	Wave that included CSES
None	%	%
Incomplete primary	%	%
Primary completed	%	%
Incomplete secondary	%	%
Secondary completed	%	%
Post-Secondary Trade/Vocational	%	%
University incomplete	%	%
University degree	%	%

### Post-Survey Adjustment Weights

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

Yes

No

If yes, please explain: [The population and sample distributions of age and sex are different, so weighting is a standard procedure to address the problem.](#)

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:

[We compare the age-sex distribution of registered voters \(the population\) and the age-sex distribution of the survey sample. The weight of a particular category is calculated as the ratio of the population percentage of the category to the sample percentage of the category.](#)

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:

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: [See 37 above.](#)

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

If yes, please describe:

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

Characteristic	Population Estimates	Completed Interviews	
		Unweighted Distribution	Weighted Distribution
<u>Age</u>			
18-25	10.6%	12.8%	10.6%
26-40	21.5%	19.4%	21.5%
41-65	50.3%	50.8%	50.3%
66 and over	17.6%	17.0%	17.6%
<u>Education*</u>			
None	---	3.9%	4.5%
Incomplete Primary	---	---	---
Primary Completed	20.6% (Primary or below)	12.7%	12.3%
Incomplete Secondary	---	---	---
Secondary Completed	51.8%	44.6%	43.9%
Post-Secondary Trade/ Vocational	7.6%	15.1%	14.0%
University Incomplete	---	---	---
University Degree	20.1%	23.7%	24.7%
<u>Gender</u>			
Male	49.6%	45.6%	49.6%
Female	50.4%	54.4%	50.4%

\* Education figures of the population estimates are those of the general population aged 18 or above, not those of the registered voters.

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.

Age and sex distribution:

[http://www.voterregistration.gov.hk/eng/pdf/2012PR\\_Age&Sex\\_LC\\_e.pdf](http://www.voterregistration.gov.hk/eng/pdf/2012PR_Age&Sex_LC_e.pdf)

Education attainment distribution:

<http://www.statistics.gov.hk/pub/B10100032015AN15B0100.pdf> (Table 12.1)