

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

September 10, 2012

Country: Kenya
Date of Election: 4 March 2013

Prepared by: Robert Mattes and Matthias Krönke
Date of Preparation: November 21, 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:

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E-Mail: iss@issafrika.org

Website: <https://www.issafrika.org>

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:

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:

21 October 2013

2b. Date Post-Election Interviewing Ended:

28 November 2013

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:

English
Luo
Kamba
Kikuyu
Kiswahili

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

The question about parties' ideological position on a left-right scale was difficult to translate as it does not have a lot of meaning given the party landscape of the country.

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:

Kenyan adult population, 18 years 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:

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? 0.12 %

If yes, please explain:

Prison population total (including pre-trial detainees / remand prisoners): 57 000 at April 2016 (national coordinator for community service)

<http://www.prisonstudies.org/country/kenya>

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? 0,05 %

If yes, please explain:

Armed Forces Personnel:

<http://www.nationmaster.com/country-info/profiles/Kenya/Military>

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

Please explain:

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: _____ %

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 design employed for the CSES Kenya survey is a representative cross-sectional sampling based on a stratified multi-stage cluster sampling methodology. The design drew largely from the Afrobarometer design with select modifications and was based on a sample size of 1200 respondents. The survey was conducted at the household level targeting all citizens of voting age (namely, 18 years and above) within the households as potential respondents.

The sample consisted of 1200 respondents. The primary sampling unit (PSU) was the census enumerator area, and the parliamentary Constituency was the secondary sampling unit (SSU).¹ The 210 SSUs were stratified by province and within each province by whether the constituency was predominantly urban or rural,² according to the population of 18+ from the 2009 Kenya Population and Housing Census figures. A total of 30 constituencies were selected from the total frame of 210 constituencies, with probability proportionate to sample size (PPPS). 10 were predominantly urban and 20 were predominantly rural.

In each of the 10 constituencies that were predominantly urban, a total of 10 Enumeration Areas (EAs) were randomly selected with probability proportionate to population size (PPPS) and 4 households then selected within each of the EAs. One respondent was then selected randomly at the household and interviews eventually conducted for each of the households selected. This yielded a total of 400 interviews from predominantly urban constituencies.

In each of the 20 predominantly rural constituencies 5 EAs were selected randomly, again according to PPPS. In each of the EAs, 8 households were randomly selected and in each household one respondent was selected also randomly for eventual interview. This yielded a total of 800 interviews from predominantly rural constituencies (table 1).

¹ It is instructive to note that the use of constituencies was based on the old 210 and not the new 290 as per the 2010 constitution of Kenya. In tracking voting patterns during the survey however, some of the 'old' constituencies had been split to form new ones while in some cases the names had been changed. These important changes were given due attention by the survey implementation team.

² According to the 2009 census, the areas considered 'urban' included the regions around urban centers sometimes referred to as peri-urban or semi urban. These areas were treated as urban areas and population treated as urban population.

Map 1: Map of sampled constituencies

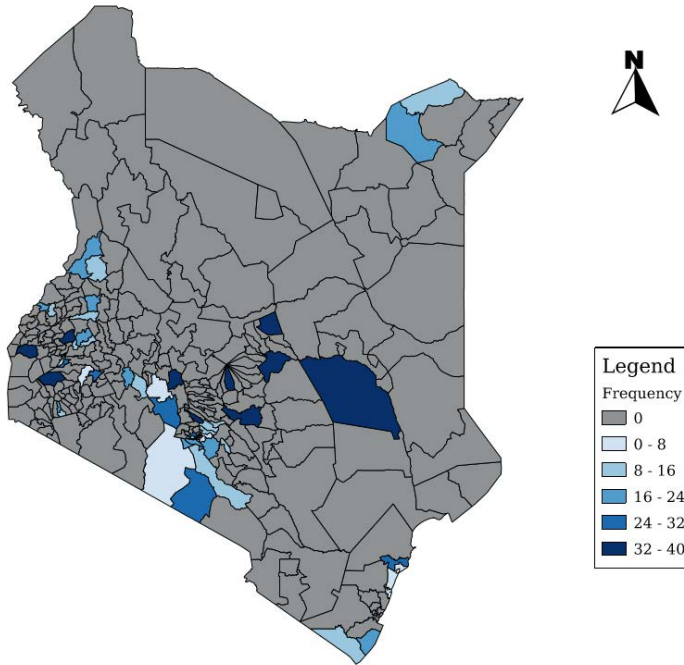


Table 1: Kenya 2009 Census - Distribution of Population aged 18+ Years

Province	Population			Proportion (National)	Proportion Within			Sampled Constituencies		
	Residence				Residence			Constituency Category		
	Rural	Urban	Total		Rural	Urban	Total	Predominantly Rural	Predominantly Urban	Total
NAIROBI		2,018,847	2,018,847	10.5	-	100.0	100		4	4
CENTRAL	1,618,333	919,160	2,537,493	13.1	63.8	36.2	100	3	1	4
COAST	842,060	842,186	1,684,246	8.7	50.0	50.0	100	2	2	4
EASTERN	2,206,067	680,659	2,886,726	14.9	76.4	23.6	100	3	1	4
NORTH EASTERN	742,251	181,686	923,937	4.8	80.3	19.7	100	1		1
NYANZA	1,872,814	660,472	2,533,286	13.1	73.9	26.1	100	3		3
RIFT VALLEY	3,454,113	1,304,049	4,758,162	24.6	72.6	27.4	100	6	2	8
WESTERN	1,622,747	347,261	1,970,008	10.2	82.4	17.6	100	2		2
	12,358,385	6,954,320	19,312,705	100.0	64.0	36.0	100	20	10	30

Note: As per the 2009 Kenya Population and Housing Census, urban areas are defined as areas with increased density of human created structures in comparison to the surrounding areas, with a population of 2,000 people and above. In this definition, urban areas include cities, municipalities, town councils, urban councils and all district headquarters regardless of their population size. The sampling process in Kenya was based on population of various administrative levels (national and provincial), the constituency which is an electoral unit as well as the Enumeration Areas.

12a. What were the primary sampling units?

Census enumerator area

12b. How were the primary sampling units selected?

See 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.

stratified multi-stage cluster sampling methodology with probability proportionate to sample size

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?

Constituency was the secondary sampling unit (SSU).³ The 210 SSUs were stratified by province and within each province by whether the constituency was predominantly urban or rural,⁴ according to the population of 18+ from the 2009 Kenya Population and Housing Census figures. A total of 30 constituencies were selected from the total frame of 210 constituencies, with probability proportionate to sample size (PPPS). 10 were predominantly urban and 20 were predominantly rural.

³ It is instructive to note that the use of constituencies was based on the old 210 and not the new 290 as per the 2010 constitution of Kenya. In tracking voting patterns during the survey however, some of the 'old' constituencies had been split to form new ones while in some cases the names had been changed. These important changes were given due attention by the survey implementation team.

⁴ According to the 2009 census, the areas considered 'urban' included the regions around urban centers sometimes referred to as peri-urban or semi urban. These areas were treated as urban areas and population treated as urban population.

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

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.

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

In each of the 10 constituencies that were predominantly urban, a total of 10 Enumeration Areas (EAs) were randomly selected with probability proportionate to population size (PPPS) and 4 households then selected within each of the EAs. One respondent was then selected randomly at the household and interviews eventually conducted for each of the households selected. This yielded a total of 400 interviews from predominantly urban constituencies.

In each of the 20 predominantly rural constituencies 5 EAs were selected randomly, again according to PPPS. In each of the EAs, 8 households were randomly selected and in each household one respondent was selected also randomly for eventual interview. This yielded a total of 800 interviews from predominantly rural constituencies (table 1).

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:

4 households were selected within each urban Enumeration Areas
8 households were selected within each rural Enumeration Areas

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):

The primary sampling unit (PSU) was the census enumerator area, and the parliamentary Constituency was the secondary sampling unit (SSU). The 210 SSUs were stratified by province and within each province by whether the constituency was predominantly urban or rural, according to the population of 18+ from the 2009 Kenya Population and Housing Census figures

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:

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

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):

56% of interviewers were female

60% of interviewers were 30 years or younger, 40% of interviewers were between 31 and 50 years

20% of interviewers have a rural background

100% of interviewers have some form of post-secondary education. Roughly 1/3 of interviewers have completed university

26. Please provide a description of interviewer training:

4 days of training, pretesting and reviewing. The training follows the standard Afrobarometer procedures. For further information, please refer to the Afrobarometer survey manual (http://afrobarometer.org/sites/default/files/survey_manuals/ab_r6_survey_manual_en.pdf)

Contacts

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

Unsuccessful call 1: 961	not applicable	239
Unsuccessful call 2: 1115	not applicable	85
Unsuccessful call 3: 1172	not applicable	28
Unsuccessful call 4: 1193	not applicable	7
Unsuccessful call 5: 1199	not applicable	1
Unsuccessful call 6: 1200	not applicable	0
Unsuccessful call 7: 1200	not applicable	0

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

$1176 \times 1 \text{ call} + 24 \times 2 \text{ calls} = 1,02 \text{ contact attempts made per household}$

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 → Afrobarometer procedure

No

If yes, please describe:

Refusal Conversion

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

Yes

No

Please describe:

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?

N/A

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:

N/A

If yes, please indicate the percent of completed surveys that were verified: 21,1 %

(random back checks for 253 interviews)

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.)

77%

Original household interviewed	961 x 1 = 961
2nd household contacted interviewed	154 x 2 = 308
3rd household contacted interviewed	57 x 3 = 171
4th household contacted interviewed	21 x 4 = 84
5th household contacted interviewed	6 x 5 = 30
6th household contacted interviewed	1 x 6 = 6
1560 contacts for 1200 interviews = 0.77	

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: 1200
- B. Number of valid households: 1200
- C. Number of invalid (non-sample) households: 0
- D. Number of households of unknown validity: 0
- E. Number of completed interviews: 1200
- 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?

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.

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

Education	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:

Because a total of 30 constituencies were selected from the total frame of 210 constituencies, with probability proportionate to sample size (PPPS). 10 were predominantly urban and 20 were predominantly rural.

Because certain constituencies were oversampled so as to get a representative set of answers for the MP questions

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:

By Province

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:

They are meant to match the population by region and Urban/rural distribution.

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	%	23.9 %	24.3 %
26-40	%	43.7 %	43.9 %
41-64	%	22.3 %	22.1 %
65 and over	%	4.3 %	4.4 %
<u>Education</u>			
None	%	8.4 %	7.7 %
Incomplete Primary	%	22.4 %	21.1 %
Primary Completed	%	17.8 %	18.5 %
Incomplete Secondary	%	14.4 %	13.5 %
Secondary Completed	%	20 %	21.2 %
Post-Secondary Trade/ Vocational	%	11.1 %	11.5 %
University Incomplete	%	1.8 %	2.1 %
University Degree	%	3.5 %	3.6 %
<u>Gender</u>			
Male	%	49.8 %	50.6 %
Female	%	50.2 %	49.4 %

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.

Sample drawn from Kenya Population and Housing Census, 2009 by the Kenya National Bureau of Statistics (KNBS), Kenya.

<http://www.knbs.or.ke/>