

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

Country: Brazil

Date of Election: First round at 10/05/2014, and second round at 10/26/2014.

Prepared by: IBOPE Inteligencia

Date of Preparation: 12/01/2014

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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Funding Organization(s):

Organization(s) that funded the data collection:

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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:

The data collection was done 100% electronically (tablet), so the original dataset is stored in electronic format. However, the original utterances of open questions are available in the database.

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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: 11/01/2014

2b. Date Post-Election Interviewing Ended: 11/18/2014

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: Portuguese

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

Sample Design and Sampling Procedures

8. Please describe the population that your sample is meant to be representative of:
Residents aged 16 and over and registered to vote.

Eligibility Requirements

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

- Yes
 No

If yes, what ages could be interviewed?
16 and over

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? _____ %

If yes, please explain:

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? _____ %

If yes, please explain:

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 sample, comprising 3.136 interviews, is representative of the Brazilian population over 16 years, registered to vote. The sample was done in 3 steps:

- . selection of cities in each stratum,
- . selection of census tracts within the selected cities,
- . selection of a fixed number of respondents within the census tracts.

12a. What were the primary sampling units?

Cities.

12b. How were the primary sampling units selected?

The sample is stratified per state. In case of states with metropolitan areas, its universe is stratified in metropolitan areas and countryside. The cities are probabilistically selected in each stratum, through systematic PPS (Probability Proportional to Size) method, based in 16 years old or more population in each city. By this method 194 cities were selected. The cities are distributed by state as follows:

States	Number of cities
AC Acre	1
AL Alagoas	2
AM Amazonas	2
AP Amapá	1
BA Bahia	11
CE Ceará	7
DF Distrito Federal	1
ES Espírito Santo	4
GO Goiás	6
MA Maranhão	5
MG Minas Gerais	20
MS Mato Grosso do Sul	2
MT Mato Grosso	3
PA Pará	6
PB Paraíba	3
PE Pernambuco	9
PI Piauí	3
PR Paraná	11
RJ Rio de Janeiro	13
RN Rio Grande do Norte	3
RO Rondonia	1
RR Roraima	1
RS Rio Grande do Sul	12
SC Santa Catarina	6
SE Sergipe	3
SP São Paulo	44
TO Tocantins	1
TOTAL	194

For research reasons, the state of São Paulo has a complement sample in the capital, suburbs and interior to allow interpretation of the results for each of these areas. The selection of cities in the periphery and interior follows the same criterion for other strata, i.e., systematic PPS based on population aged 16 or more.

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.
Systematic PPS based on population aged 16 or more.

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?

Second stage: selection of census tracts within the selected cities,

Third stage: selection of a fixed number of respondents within the census tracts.

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

In second stage, census tracts are selected with systematic PPS and we conduct around 7 (cluster size) interviews in each one. The measure of length is 16 years or older population living in the areas. The sample has 192 sampling points (secondary sampling units), but not every census tracts are selected.

The selection criteria for the census tracts are:

- Tracts from metropolitan areas are selected for the sample (this means that a priori tracts aren't selected in countryside);
- Tracts from cities with two or more clusters (in other words, tracts are selected only in cities selected for conducting 14 more interviews).

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.
Third stage (below)

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

In third stage a fixed number of respondents are selected according to gender, age, education and line of work quotas. These quotas were set considering the census update survey from IBGE (Brazilian Institute of Geography and Statistics) – 2010 and the last PNAD/ 2012– (IBGE_National Survey by Household Sample).

For each census tract, a random point is given for beginning the interviews (the initial point of the census tract, as defined by IBGE). The interviewer will approach the first residential building walking clockwise from the initial point of the census tract and will try to do the interview, if the respondent fits in the quotas.

If the respondent fits in required quotas and the interview was carried out, the interviewer, walking clockwise, will skip four households and will try to approach the fifth one.

If interview is not possible for any reason (household is empty, the building is not residential, there is nobody within the required quotas or respondent refuses), interviewer will write down the occurrence and go to the next household until he gets the required interviews (without skipping).

If the block was completely circled through this method and the interviewer was still unable to fill the fixed number of interviews from respondents that fits in required quotas, the interviewer, walking clockwise, will move to the next block from the tract and will systematically repeat the procedure described above until reach the fixed number of interviews in the required quotas in the tract.

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: In first stage (selection of cities) and second stage (selection of census tracts)

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 sample is stratified per state. In case of states with metropolitan areas, its universe is stratified in metropolitan areas and countryside.

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

Yes

No

If yes, please describe: In third stage a fixed number of respondents are selected in each cluster, according to gender, age, education and line of work quotas. The quotas are distributed as follows:

Gender	
Male	47%
Female	53%
Age	
16 – 24	17%
25 – 34	23%
35 – 44	20%
45 – 54	17%
55 and more	23%
Education	
Up to primary complete	25%
Secondary incomplete/ complete	20%
High school incomplete/ complete	36%
College incomplete and more	19%
Line of work	
Agriculture	9%
Industry	21%
Commerce	15%
Transport/ Communication	6%
Services	17%
Social activity	8%
Government	5%
Others	3%
Inactive	15%

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):

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):

Interviewers belong providers fieldwork IBOPE Intelligence. Ideally, all interviewers have at least a high school education and are of different genders and ages to meet the sample quality. The survey team has extensive experience in public opinion surveys and is hired by the IBOPE Intelligence and trained specifically for the project.

The team linked directly to work in the field of the research consisted of about 173 people:

- Interviewers: 154
- Supervisors / Inspectors: 16
- General Coordinator of Field: 2
- Administrative Officer Field: 1

This field equipment, the project will also include a Executive Director of Operations, Ms. Cláudia Fernandez and Director of Fieldwork Operations, Mr. Fabiano Campos.

26. Please provide a description of interviewer training:

General Interviewer Training: there was instruction for all interviewers participating in this project reached base on established guidelines General Technical Interview. Attitude, accession and security that is being addressed as the keys to an interview well done: the importance of the quality of the interview, which is intrinsically linked to the performance of the interviewer was also strengthened.

The interviewers were trained before starting work: 4 hours per sample and 4 hours by the questionnaire.

Material used:

- Fieldwork Norm (general procedures for more detailed more specific question)
- Questionnaire and cards
- Descriptions and maps of Census Tracts

Contacts

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

Not applicable. Survey by quotes

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

Not applicable. Survey by quotes

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

One. Survey by quotes

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

One. Survey by quotes

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

One. Survey by quotes

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:

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?

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:

Simultaneous validation: The validation staff accompanies the interviewer during the interview and validates whether or not the interview. If not, they make a report to guide the interviewers according to the fieldwork standards.

After validation: The validation staff repeat the interview by phone or face-to-face and validates whether or not the interview. If not, they make a report to guide the interviewers according to the fieldwork standards.

If yes, please indicate the percent of completed surveys that were verified: 20%

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.)

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:	3136
B. Number of valid households:	3136
C. Number of invalid (non-sample) households:	4234
D. Number of households of unknown validity:	0
E. Number of completed interviews:	3136
F. Number of partial interviews:	1168
G. Number of refusals and break-offs:	768
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:
 The household selection was made by quota (not randomly), therefore the number of valid households is equal the total number of households in sample.

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:
 The household selection was made by quota (not randomly), therefore the number of valid households is equal the completed interviews.

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 populated being studied?

Yes

No

If yes, please explain: The weight was used only to correct the complementary sample of the state of São Paulo (capital, suburbs and interior).

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: For the sample of São Paulo stay proportional size, the following weights were used:

Region/ State	Proportional sample	Final sample	Weight_POND
BRASIL	2506	3136	
REG. SU	364	364	1
PR	140	140	
RS	140	140	
SC	84	84	
REG. SE	1106	1736	-
ES	56	56	1
MG	266	266	1
RJ	210	210	1
SP	574	1204	-
SP - Capital	154	406	0,3793103
SP - Suburb	112	378	0,2962963
SP - Interior	308	420	0,7333333
REG. CO	196	196	1
DF	42	42	
GO	84	84	
MS	28	28	
MT	40	42	
REG. NE	642	644	1
AL	28	28	
BA	168	168	
CE	100	98	
MA	70	70	
PB	42	42	
PE	112	112	
PI	42	42	
RN	42	42	
SE	42	42	
REG. NO	198	196	1
AC	14	14	
AM	42	42	
AP	14	14	
PA	84	84	
RO	14	14	
RR	14	14	
TO	14	14	

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: The weight was used to correct the complementary sample of the state of São Paulo and get it back to proportional size.

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:

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	<u>Population Estimates</u>	<u>Completed Interviews</u>	
		<u>Unweighted Distribution</u>	<u>Weighted Distribution</u>
<u>Age</u>			
16-25	23%	19%	19%
26-40	32%	34%	34%
41-64	35%	38%	37%
65 and over	10%	10%	11%
<u>Education</u>			
None	6%	4%	4%

Incomplete Primary	32%	31%	31%
Primary Completed	10%	12%	12%
Incomplete Secondary	10%	8%	8%
Secondary Completed	27%	28%	27%
Post-Secondary Trade/ Vocational	-	-	-
University Incomplete	5%	8%	8%
University Degree	11%	9%	9%
Gender			
Male	48%	48%	48%
Female	52%	52%	52%

Data Universe : Population 16 years and older, living in permanent private households . Source : National Household Survey 2012 (National Research by Household Sample 2012). Recalling that the dimensions used to define the " Age Group " and " education" are different from the tracks described above. So it is not advisable to compare them.

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.

- Instituto Brasileiro de Geografia e Estatística (IBGE):
 - **2010 Census**
 In the 2010 Census, more than 190 thousand enumerators visited 67.6 million housing units in the 5,565 Brazilian municipalities.
 Website: <http://censo2010.ibge.gov.br/en/sobre-censo/apresentacao>
 - **National Household Sample Survey – 2012**
 The National Household Sample Survey - PNAD investigates, every year, and on an ongoing basis, general characteristics of the population, concerning education, labor, income and housing, besides others, at variable frequency, according to type of information needed by the country, such as characteristics of migration, fertility, nuptiality, health and food security, among other topics. These statistics constitute an important tool for the formulation, validation and evaluation of policies aimed at the socio-economic development and improvement of living conditions in Brazil.
 Website:
<http://www.ibge.gov.br/english/estatistica/populacao/trabalhoerendimento/pnad2012/default.shtm>
- Superior Electoral Court (TSE) 2014
 Website: <http://www.tse.jus.br/eleicoes/eleicoes-2014>