

## Comparative Study of Electoral Systems (CSES) Module 5: Design Report (Sample Design and Data Collection Report)

September 14, 2016

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

Date of Election: [4 September 2016](#)

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

Date of Preparation: [June 2017](#)

### 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, Lingnan University</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 (with interviewing starting within 6 months after the election)
- Post-Election Study (with interviewing starting more than 6 months after the election)
- Pre-Election/Post-Election Panel Study
- Between Rounds

2a. Date Post-Election Interviewing Began:

6 September 2016

2b. Date Post-Election Interviewing Ended:

18 September 2016

3a. 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 - using a questionnaire on paper
- In person, face-to-face - using an electronic/computerized questionnaire
- Telephone
- Mail or self-completion supplement
- Internet

3b. Was there a mode change *within* interviews (e.g., selected self-completion elements within the questionnaire)?

- No
- Yes; please provide details:

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:

4c. If the survey was entirely or partly conducted via the Internet, please indicate whether it was based on an access panel (i.e. respondents were selected from a group of pre-screened panelists):

- Yes
- No

4d. If the survey was based on an Internet access panel, please describe the access panel (company, population [does it include persons without initial access to the Internet and how are they interviewed], method of recruiting members, total size of access panel, method of selecting survey respondents from the panel):

### **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.

### **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 voter).

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

Yes

No

\* Citizenship is not required, but a registered voter in Hong Kong needs to be a Hong Kong permanent resident.

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? At most 0.3 %

If yes, please explain: The number of prisoners in Hong Kong in 2016 was 11,980 and the total population eligible for voter registration in 2016 was 4,789,700. So, the ratio of the two numbers is about 0.3%. But some prisoners are not eligible for voter registration, e.g. foreigners serving in Hong Kong's prisons. However, we do not know how many prisoners are not eligible. So, *at most* 0.3% of the total eligible population were excluded.

Sources: (1) For the number of prisoners in Hong Kong in 2016, see *Hong Kong Annual Digest of Statistics*, 2017 Edition, p. 427, Table 15.10 (<http://www.statistics.gov.hk/pub/B10100032017AN17B0100.pdf>, accessed on 22 November 2017). (2) For the total population eligible for voter registration in 2016, see *Youth Participation in Public Affairs in Hong Kong: Numbers and Figures*, p. 2, Figure 1 (<http://www.legco.gov.hk/research-publications/english/1718issf04-youth-participation-in-public-affairs-in-hong-kong-20171218-e.pdf>, accessed on 27 December 2017).

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? About 5.5 %

Please explain: The survey called fixed-line telephone numbers for interviews. As Hong Kong does not have a statistic 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 94.5% in 2016 (i.e. for each 100 households, there are 94.5 fixed-line telephone lines). However, there are households with more than one fixed lines, so we do not know exactly the percentage of households without a fixed-line telephone line.

Sources: (1) For the number of fixed-line telephones in 2016, see *Hong Kong Annual Digest of Statistics*, 2017 Edition, p. 329, Table 11.14 (<http://www.statistics.gov.hk/pub/B10100032017AN17B0100.pdf>, accessed on 27 December 2017).  
(2) For the number of households in 2016, see *Hong Kong Annual Digest of Statistics*, 2017 Edition, p. 12, Table 1.11 (<http://www.statistics.gov.hk/pub/B10100032017AN17B0100.pdf>, accessed on 27 December 2017).

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. If interviews were conducted via the Internet, what is the estimated percentage of households without access to the Internet? \_\_\_\_\_ %

10g. If interviews were conducted via the Internet, were provisions taken to include members of the population without access to the Internet? And if so, which?

Yes

No

If “Yes”, please explain:

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

10h. 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:

10i. Please estimate the total percentage of the eligible population excluded from the sample frame:

About 5.5% of the households without fixed line telephones were excluded (see 10d). An additional amount of at most 0.3% of the population were excluded as well (see 10b).

## 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 and/or based on an Internet access panel, please also describe the original sample, from the beginning of the study.

Our survey was one of telephone interviews. To generate the sample for the study, we adopted two stages of random sampling to ensure the representativeness of the sample:

- Stage 1. In this stage, we selected a random sample of telephone numbers. We first generated a random sample of telephone numbers from the telephone pool maintained by us. To solve the problem of unlisted numbers, the last two digits of each of the telephone numbers in the sample were replaced by two random digits.
- Stage 2. We asked the person receiving the phone call the number of registered voters within the household. We inputted the number and the CATI system would draw randomly one of the eligible members to be our interviewee.

12a. What were the primary sampling units?

The primary sampling units were telephone numbers.

12b. How were the primary sampling units selected?

For details, see the Stage 1 procedures in 11.

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.

The units were randomly selected. For details, see the Stage 1 procedures in 11.

13. Were there further stages of selection?

Yes

No

\* We adopted two-stage random sampling, so there were Stage 1 and the final stage (Stage 2) only. There were no stages of selection between Stage 1 and the final stage.

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

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 the final stage, we first asked the person receiving the phone call the number of registered voters within the household. We then inputted the number and the CATI system would randomly draw one of the eligible samples to be our interviewee.

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, and in the case of multi-stage selection processes the stage[s] at which stratification occurred):

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): **No answers to telephone calls after making 5 attempts.**

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

\* **Our sample was not a listed sample. However, the telephone numbers in the telephone pool maintained by us were listed numbers. We generated a random sample from our telephone pool, with the last two digits replaced by two random digits.**

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 respondents self-select into the survey, at any stage?

- 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):

Students of Lingnan University who had received basic training in survey interviews and how to conduct telephone surveys *via* the CATI system, with various length of survey experience.

26. Please provide a description of interviewer training. If possible please differentiate between general interviewer training and study-specific components:

The general interviewer training includes the following: (1) introduction to research methods; (2) training in basic skills of survey interviews; and (3) training in how to conduct telephone surveys *via* the CATI system.

The study-specific component of interviewer training includes a briefing session before a survey is run. The briefing session familiarizes the interviewers with the survey questions and explains the issues that may arise during the study.

26a. Please provide a description of the content, structure and time used for general training of interviewers:

General interviewer training includes the following: (1) introduction to different kinds of survey methods and their strengths and weaknesses; (2) the importance of sampling and sampling procedures; (3) basic attitudes and manners in interviews; (4) basic interview skills and techniques; and (5) the logistics of using CATI to conduct a telephone interview.

During the training, we use a real survey questionnaire loaded to CATI for illustration and practice. Specific attention is paid to training the interviews for handling the CATI system in different situations, such as refusals, making appointments, and non-residential lines.

Each training session lasts for 75 to 90 minutes.

26b. Please provide a description of the content, structure and time used for training interviewers in the specifics of the study within which CSES was run:

We have a briefing session before the CSES survey was run. Interviewers gathered and our supervisor went through all the questions of the survey with the interviewers. During the process, the supervisor explained the possible misunderstanding and difficulties in the questions. Interviewers were to ask questions about the questionnaire. The purpose of the briefing session was to make sure that interviewers would understand the questions completely and knew the possible queries raised by the interviewees.

The briefing session lasted for 45 to 60 minutes.

## Contacts

Where appropriate, the term “household” in the questions in this “Contacts” session means “telephone number” in the context of our survey.

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

An average of 1.40 telephone attempts made per each successful interview.  
An average of 2.93 telephone attempts made per valid telephone numbers for the entire sample.

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

Our survey was one of telephone interviews and no contact attempts were made prior to the first telephone attempt.

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

If we made five telephone attempts with no response, we declared the telephone number as a non-sample.

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

One to two contacts, depending on the responses. (1) If the individual receiving the phone call refused to be interviewed and strongly asked us not to call again, we would not call the number again, and one contact was made for a non-interview. (2) If the individual did not ask us not to call again, then we would call the number again at a different time on a different day. If the result was again a refusal, we would not call the number again, and two contacts were made for a non-interview.

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: The CATI system would dial the same telephone number two hours later in the same day or in another time one day after for re-contacts.

### 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.

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?

The maximum number of re-contacts was one.

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 = 24.1% [= 1,020 / (1,020 + 913 + 2,304.9) \* 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:	68,656
B. Number of valid households:	1,933 (= 1,020 + 913)
C. Number of invalid (non-sample) households:	46,772
D. Number of households of unknown validity:	19,951
E. Number of completed interviews:	1,044
F. Number of partial interviews:	9
G. Number of refusals and break-offs:	654
H. Number non-contact (never contacted):	250
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:

11.6% of households of unknown validity are estimated to be valid.

Therefore, an additional of  $11.6\% * 19,951 = 2,304.9$  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>	<b>First wave of study</b>	<b>Wave that included CSES</b>
18-25	%	%
26-40	%	%
41-64	%	%
65 and over	%	%

<b>Education</b>	<b>First wave of study</b>	<b>Wave that included CSES</b>
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: When the socio-economic characters of registered voters (the population) and our samples are not identical, weighting is a standard procedure applied to the data. In our study, weighting is based on the age and sex variables.

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:

The weight of a particular age-sex category is calculated as the ratio of its population percentage to its sample percentage.

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: In our study, weighting is based on age and sex of the registered voters, which are the only socio-economic variables released by the government. See "Age and Sex profile of registered electors by Legislative Council Constituencies in 2016" ([https://www.voterregistration.gov.hk/eng/2016FR\\_sex%20and%20age\\_LC\\_e.pdf](https://www.voterregistration.gov.hk/eng/2016FR_sex%20and%20age_LC_e.pdf), accessed on 3 July 2017).

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	10.3%	14.1%	10.3%
26-40	20.8%	19.3%	20.8%
41-65	48.8%	51.6%	48.8%
66 and over	20.1%	15.0%	20.1%
<u>Education</u>			
None	---*	2.3%	3.1%
Incomplete Primary	---*	---	---
Primary Completed	18.7% (Primary or below) *	10.9%	11.8%
Incomplete Secondary	---*	---	---
Secondary Completed	49.7%*	40.0%	39.8%
Post-Secondary Trade/ Vocational	7.6%*	12.8%	12.1%
University Incomplete	---*	---	---
University Degree	24.0%*	34.0%	33.2%
<u>Gender</u>			
Male	49.1%	49.0%	49.1%
Female	50.9%	51.0%	50.9%

\* Data on the educational attainment of registered voters (our survey's population) is not available. The educational attainment figures of the general population aged 18 or above are shown above for reference.

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.

- (1) For age and sex distribution of registered voters, see “Age and Sex profile of registered electors by Legislative Council Constituencies in 2016” ([https://www.voterregistration.gov.hk/eng/2016FR\\_sex%20and%20age\\_LC\\_e.pdf](https://www.voterregistration.gov.hk/eng/2016FR_sex%20and%20age_LC_e.pdf), accessed on 3 July 2017).
- (2) For education attainment distribution of the general population (not registered voters), see *Hong Kong Annual Digest of Statistics*, 2017 Edition, p. 341, Table 12.1 (<https://www.statistics.gov.hk/pub/B10100032017AN17B0100.pdf>, accessed on 24 October 2017).