



# **ROUND 6 SURVEY MANUAL**

**Compiled by the Afrobarometer Network**

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**FINAL**

## **Purpose of the Manual**

The Afrobarometer is a comparative series of public attitude surveys that assess citizen attitudes to democracy and governance, markets, and civil society, among other topics. The surveys have been undertaken at periodic intervals since 1999. Having started with 12 countries in the first cycle in 1999, the Afrobarometer coverage has progressively increased over time and covered a total of 35 countries in Round 5 (2011-2013). It is expected that in Round 6, the same 35 countries will be covered, between 2014 and 2015. We also hope to add South Sudan as a 36<sup>th</sup> country during Round 6 if the political situation permits.

Together with National Partners in each country, the Afrobarometer is a joint enterprise of the Institute for Justice and Reconciliation in South Africa (IJR), the Center for Democratic Development (CDD-Ghana), the Institute for Development Studies (IDS) at the University of Nairobi in Kenya, and the Institute for Empirical Research in Political Economy (IREEP) in Benin. The network also receives additional technical support from Michigan State University (MSU) and the University of Cape Town (UCT).

This Survey Manual is addressed to Afrobarometer National Investigators (NIs), and aims to assist NIs and other members of the Country Team in preparing and implementing Round 6 surveys. The Manual lays out the methodologies for managing, conducting, and reporting on Afrobarometer surveys. It distills the practical knowledge accumulated from experience with Rounds 1 through 5.

The Manual should thus be regarded as the essential guidebook to the Afrobarometer. It lists the project's best practices, which we strongly recommend that all NIs apply. However, we recognize that some National Investigators and Country Teams have devised even better methods for implementing the high standards that we have set ourselves. If you have devised such methods, please record them for discussion by the members of the Afrobarometer Network as a whole and for possible inclusion in future editions of this Manual.

## Contents

Purpose of the Manual	i
Section 1: Background	1
Section 2: Organizational Structure	4
Section 3: Survey Management	8
Section 4: The Questionnaire	15
Section 5: Sampling	26
Section 6: Fieldwork Training and Supervision	40
Section 7: Data Entry and Management	50
Section 8: Data Analysis and Report Writing	60
Section 9: Communications	66
Section 10: Monitoring and Evaluation	77
Section 11: Capacity Building	80
<b><u>Appendices</u></b>	
Appendix 1: Afrobarometer Round 6 Network Partners	82
Appendix 2: Sample Afrobarometer Round 6 Letter of Agreement	85
Appendix 3: Schedule of Survey Activities	89
Appendix 4: Survey Planning Checklist	90
Appendix 5: PPS Sampling Made Simple	92
Appendix 6: Research Ethics Agreement	93
Appendix 7: Sample Fieldworker Letter of Appointment Letter	96
Appendix 8: Field Supervisor's Expense Report	97
Appendix 9: Basic Data Cleaning	98
Appendix 10: Advanced Data Cleaning for Round 6	100
Appendix 11: Presenting Afrobarometer Results	106
Appendix 12: Sample Survey Technical Information Form	107
Appendix 13: R6 Memorandum of Understanding	109

## Section 1: Background

### 1.1 The Afrobarometer

The Afrobarometer collects and disseminates information regarding Africans' views on democracy, governance, economic reform, civil society, and quality of life. Round 1 surveys were conducted between 1999 and 2001. At that time, the project covered seven countries in Southern Africa (Botswana, Lesotho, Malawi, Namibia, South Africa, Zambia and Zimbabwe), three countries in West Africa (Ghana, Nigeria and Mali) and two in East Africa (Uganda and Tanzania). Round 2 surveys were completed by November 2003 with four new countries added: Kenya, Senegal, Cape Verde and Mozambique. Round 3 surveys were conducted from March 2005 to February 2006 in the same countries, plus Benin and Madagascar. Round 4 surveys were conducted during 2008 and 2009 in 20 countries, reflecting the addition of Burkina Faso and Liberia. In the Round 5 surveys, the project covered an additional 15 countries in different regions of the continent. Among the new R5 additions were: Mauritius and Swaziland in Southern Africa; Burundi and Ethiopia in East Africa; Cameroon, Niger, Cote D'Ivoire, Guinea, Sierra Leone and Togo in West Africa. The Afrobarometer also worked with the Arab Barometer and implemented R5 surveys in Algeria, Egypt, Morocco Sudan and Tunisia. Additional Round 5.5 surveys were also conducted in Mali and Zimbabwe.

### 1.2 Approach to Data Collection

Although other research methods were used during the project design,<sup>1</sup> the Afrobarometer relies on personal interviews to obtain information from individual Respondents. The same questionnaire, which contains identical or functionally equivalent items, is applied to every Respondent in each country. Because questions are standardized, responses can be compared across countries and over time.

In the personal interview, the Interviewer goes to a randomly selected household and interviews a randomly selected individual from that household. The Interviewer asks this Respondent a series of questions in a face-to-face situation and in a language of the Respondent's choice. The Interviewer records the responses (i.e., the answers) provided by the Respondent. Advantages of this approach are that the survey response rate is usually high; the Respondents have the opportunity to clarify their answers; and, by aggregating responses, we are able to make inferences about public opinion.

On this last point, it should be noted that Afrobarometer surveys are based on national probability samples. As a consequence, the aggregated results are representative of larger groups. At the national level, Afrobarometer sample sizes range from 1,200 to 2,400. In Round 5, the Network expanded the sample sizes in several countries including, Kenya, Ghana, Malawi, Mozambique, Tanzania and Zimbabwe, to allow for more in-depth analysis. Both the 1,200 and 2,400 sample sizes are large enough to make inferences about all voting age citizens with an average margin of sampling error of no more than plus or minus 2.8 percent at a 95 percent confidence level (with a sample size of 1200) or plus or minus 2 percent for a sample size of 2,400.

Although the coverage of countries has increased over time, it should be noted that Afrobarometer results cannot necessarily be generalized to Africa as a whole. Through Round 4, Afrobarometer has focused on conducting survey research on public opinion primarily in countries that have undergone a significant measure of political liberalization. Thus, the sample of countries did not include many authoritarian regimes or countries embroiled in civil wars. In Round 5, the Network expanded into a

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<sup>1</sup> Focus group interviews were conducted before the Round 1 survey in Zambia and South Africa (to assist with questionnaire design) and after the Round 1 survey in Ghana (to aid the interpretation of early results).

number of countries that have undergone more limited political liberalization. The aggregate findings will thus be more representative of the continent as a whole. Nonetheless, the continent's most closed and authoritarian regimes continue to be excluded.

### **1.3 Capacity Strengthening**

The Afrobarometer vision is to create a regularly updated data bank of public opinion surveys in a range of African countries, all sustained by a Network of like-minded and capable African institutions. To achieve this vision, the project aims to strengthen institutional capacities in all aspects of survey research. The project's approach to capacity building is a mutual one: to exchange various survey skills among African institutions, to transfer relevant survey technologies from outside Africa, and to assist non-African institutions to adapt survey methods and interpret survey results in the light of African realities.

The main vehicles for increasing the strength of the Afrobarometer Network are periodic Planning and Capacity-Building Workshops, Afrobarometer Fellowships for individual study and training, Technical Assistance Exchanges and Mentoring Exchanges for the provision of one-on-one training, mentoring and support, and the Afrobarometer Summer Schools, which provide in depth training in data analysis and reporting. These activities aim to continually strengthen the myriad skills needed to sustain an ongoing program of survey research, analysis and outreach. These skills include both the technical aspects of survey research (e.g., questionnaire design, sampling, interviewer training, data entry and management, statistical analysis, report preparation, and the presentation of results) and related managerial skills (fundraising, budgeting, team recruitment, field logistics, and financial reporting). In each case, our objective is to have all participants leave each Workshop, Fellowship, Technical Assistance Exchange or Summer School with some new skills.

### **1.4 Communications Strategy**

Afrobarometer data are a valuable resource for Africa's development. After data are collected, they must not sit on a shelf. Enhancing our Communications Program to achieve greater *policy visibility* thus continues to be a key strategic priority for Round 6. The information produced by Afrobarometer is expected to be helpful to policy-makers, analysts, activists, investors, donors, teachers and scholars, as well as average Africans who wish to become more informed and engaged citizens.

In order to achieve this, the Round 6 Communications Program will continue to emphasize timeliness and accessibility via the rolling release of results through multiple release events. In addition, the Network will continue to promote the building of ongoing relationships with key stakeholders who can become advocates for the Afrobarometer and help the Network to promote awareness and usage of Afrobarometer findings in policy debates.

In Round 5, the Network also experimented with new formats for releasing results, including via powerpoint "media briefings" and press releases. These formats provided a quick and accessible overview of key findings on selected topics of current interest to policy makers or advocates. Partners also continued to produce *Country Bulletins* that explore topics in somewhat greater depth. The Network also continues to publish *Summaries of Results*, which provide frequencies and breakdowns (e.g., by gender and urban-rural status) for all questions. Top quality Country Bulletins are also published on the Afrobarometer website as *Afrobarometer Briefing Papers*. By January 2014, the Network had published more than 120 Briefing Papers. In Round 6, we will continue to experiment with new release and publication formats, including Afrobarometer Dispatches and Policy Papers.

In addition to country disseminations, at the end of Round 5 the Network organized a series of Global Release events, producing Policy Papers on a range of different topics that have been released in a

series of events held in cities across the continent. These events have helped to build Afrobarometer's profile on the continent and globally, bringing attention to the opinion, attitudes and values of African peoples.

Some survey results are also reported at length in the *Afrobarometer Working Papers* series authored by the various partners in the Afrobarometer Network, as well as other researchers. Launched in October 1999, the series amounted to more than 140 papers by January 2014.

Electronic versions of all publications and Summaries of Results, as well as most Afrobarometer data sets from Rounds 1 through 5, can be downloaded from the Afrobarometer web site at [www.afrobarometer.org](http://www.afrobarometer.org), as can graphics of results and other useful information. The web site is the world's window on the Afrobarometer and a principal vehicle for the dissemination of information about our activities. In addition, the website also links to the Network's Online Data Analysis facility. This feature allows users without access to the software or skills normally required for data analysis to access Afrobarometer data and generate basic frequencies, crosstabs and graphics online. The number of visitors to the AB website and the Online Data Analysis facility has been steadily increasing every year – the website now receives more than 3000 visitors per month, some 20% of whom are based in Africa.

Two Afrobarometer books have now been published. The first, based on Round 1 survey results, entitled *Public Opinion, Democracy, and Market Reform in Africa*, was released in October 2004 by Cambridge University Press. The second, *Voting and Democratic Citizenship in Africa*, was published by Lynne Rienner in 2013.

Through these reports, books, public presentations and outreach events, the Afrobarometer Network hopes to make a valuable contribution to the consolidation of democracy and economic development in Africa. Our findings may verify, challenge, or complement the formal statistics collected by the state. Most importantly, the Afrobarometer enables ordinary Africans to become more informed about what other people in their countries and across the region think, and helps amplify popular voices that might not otherwise be heard.

## Section 2: Organizational Structure

### 2.1 The Afrobarometer Network

The Afrobarometer Network is a consortium of survey researchers based mainly in Africa. The Network comprises National Investigators (NIs) and/or National Partners (NPs), Core Partners (CPs), Support Units (SUs) and an International Advisory Board (IAB). The Afrobarometer is a joint enterprise of the Network as a whole.

The Network underwent a significant restructuring in Rounds 4 and 5, with the primary responsibility for Afrobarometer Management shifting to African partners. The network also added a new component, the “Support Units,” which are described below. In Round 5, the Network continued restructuring with the lead responsibility for Network Management as a whole resting with the Network’s Executive Committee (ExCom). The responsibility for implementation of Executive Committee decisions and management of day-to-day operations are directed by the Network’s Executive Director, E. Gyimah-Boadi, based at CDD-Ghana, supported by the Deputy Director, Carolyn Logan, based at MSU, and a Project Management Unit (PMU) based at CDD-Ghana.

#### 2.1.1 National Investigators and/or Partners

National Investigators (individuals) or National Partners (organizations) are the backbone of the Afrobarometer. NI/NPs take the lead in either directly managing surveys and data management, or in supervising Contractors that do data collection on the Network’s behalf. They are also responsible for preparing and disseminating Media Briefs, Press Releases, Dispatches, and Summaries of Results, and play a key role in other communications activities as well (see Appendix 1 for a list of National Partners, as well as Core Partners and Support Units). National Partners may also seek funds for Afrobarometer activities in their own countries, though this should always be done in close collaboration with Core Partners.

#### 2.1.2 Core Partners

Core Partners (CPs) provide overall direction and management to the project. They take primary responsibility for fundraising and for planning and coordinating programs of work. The Core Partners for Round 6 are the Ghana Center for Democratic Development (CDD-Ghana), the Institute for Empirical Research in Political Economy (IREEP) in Benin, the Institute for Development Studies (IDS), University of Nairobi, Kenya and the Institute for Justice and Reconciliation in South Africa (IJR)

Because the Network aims to build mutual capacity, Core and National Partners assist each other in various ways. For example, Core Partners lend technical assistance as needed on survey fieldwork and dissemination events, but they may also call on National Partners to assist the Network in areas where they have particular expertise. The lines of responsibility and support within the Network run as follows:

Between: Core Partners

And: National Partners

IJR (Southern Africa)

Botswana, Lesotho, Malawi, Mauritius, Mozambique  
Namibia, South Africa, Swaziland, Zambia, Zimbabwe

CDD (West Africa)

Cameroon, Cape Verde, Ghana, Liberia, Nigeria and  
Sierra Leone

IDS (East Africa)	Burundi, Ethiopia, Kenya, South Sudan, Tanzania and Uganda,
IREEP (francophone Africa)	Benin, Burkina Faso, Cote D'Ivoire, Guinea, Madagascar, Mali, Niger, Senegal and Togo.

In Round 6, the four Core Partners, working together with the PMU team, will share responsibility for managing and supervising fieldwork activities in the five North African Countries that were added in Round 5, namely: Algeria, Egypt, Morocco, Sudan and Tunisia. When required, responsibility for identifying a NI/NP and coordinating activities in the country will be assigned to one of these four CPs based on region and/or national language.

### ***2.1.3 Support Units***

Support Units provide technical backstopping and management support to the CPs and the ExCom. In Round 6, Support Units will again include Michigan State University and University of Cape Town.

The University of Cape Town will take primary responsibility for data management and the Capacity Building component of the project. Michigan State University will continue to take primary responsibility for publications, as well as a shared role with CDD-Ghana in Monitoring and Evaluation.

### ***2.1.4 International Advisory Board***

The International Advisory Board for the Afrobarometer is comprised of leading scholars, activists and survey researchers. The Board helps to promote the Afrobarometer and disseminate its findings in various international settings. In addition, the board provides guidance to the Afrobarometer on project management and on further improving our data collection and analysis processes to ensure that we continue to meet international standards for survey research. The IAB will also provide other assistance and support to the Executive Committee as needed.

## **2.2 Project Management**

### ***2.2.1 Executive Committee***

Decisions on the general direction of the project are taken at periodic Planning Workshops attended by all National Partners. Between meetings of the whole Network, the project is managed by an Executive Committee (ExCom). The ExCom is composed of the Executive Director, the Deputy Director, one representative from each of the other Core Partners and Support Units, and the Operations Managers for Capacity Building, Communications, Fieldwork, Operations and Finance. Two representatives of the National Partners – one Anglophone and one Francophone -- are also elected at the Planning Meeting of each Round of surveys. In Round 6, the NI for Botswana, Mogopodi Lekorwe, will continue as the Anglophone National Partner representative. Massa Coulibaly, the NI for Mali, was selected as the francophone representative.

### ***2.2.2 Project Management Unit***

The Afrobarometer Project Management Unit (PMU) is based at CDD-Ghana and supports the Executive Director in his leadership of the Network. The PMU takes lead responsibility for all administrative aspects of managing and implementing Afrobarometer activities, including fundraising, budgeting and contracting, monitoring and evaluation, and reporting. In addition to the Executive

Director, the PMU is comprised of the Operations Manager/PMU, the AB Monitoring and Evaluation Officer and the Project Accountant. All these are based out of CDD-Ghana.

### **2.3 The Structure of Country Teams**

In each country, Afrobarometer activities are led by a National Investigator (NI), in some cases assisted by a Co-National Investigator (Co-NI).

In some countries, the NI is part of an organization that serves as the Afrobarometer National Partner (NP), which directly implements survey activities. In these cases, the NI/NP will assemble their own Country Team. The Country Team is led by the National Investigator (NI), and usually also consists of a data manager, a team of at least four Field Supervisors (FSs), and a larger team of Fieldworkers/Interviewers (usually four per FS). The NI should also consider engaging a Sampling Specialist. It is also recommended, particularly if there is not a co-NI, that the NI engage at least one Senior Field Supervisor to assist in the monitoring and quality control of fieldwork. At the survey headquarters office, the NI is assisted by support staff, including translators and data entry clerks, usually hired on a temporary basis. It is generally recommended that an organizational structure along these lines, adapted to local requirements, be followed in all countries. For example, some countries have adjusted the number or the size of Field Teams to meet local conditions or timing requirements for fieldwork completion.

In other cases, the implementation of fieldwork is contracted to a specialized data collection firm. These firms usually have permanent or semi-permanent teams of Fieldworkers, Supervisors, data entry staff and others. Nonetheless, they will be expected to adhere to the Afrobarometer standards and protocols as outlined in this manual, for example, with respect to training of fieldworkers, methods for translating questionnaires, and maintaining a ratio of 1:4 between Field Supervisors and Fieldworkers. However, in certain circumstances the use of alternative approaches by data collection firms may be approved by the NI and/or Core Partner if the proposed alternative nonetheless ensures that the data will still meet the high quality standards of the Afrobarometer.

In either case, it is ultimately the NI who is responsible for ensuring that the management of all stages of the survey, from sampling to the production of briefs and dissemination of results, is completed on schedule and meets all Afrobarometer standards and protocols.

### **2.4 The Memorandum of Understanding (MOU)**

The Afrobarometer operates according to a set of common procedures codified in a Memorandum of Understanding (MOU). For example, all Afrobarometer Partners agree in the MOU that they will conduct research, publish reports, or enter into agreements, under the name of the Afrobarometer *only* with the express consent of the Core Partners. The MOU also specifies that all Partners will adhere to all of the Afrobarometer research and management standards and protocols presented in this Survey Manual. Additional protocols are summarized in the MOU itself. The MOU was signed by all Round 6 National Investigators who were present at the Round 6 Planning Meeting in Cape Town, South Africa in February 2014; NIs who were not present will be asked to sign the MOU as soon as possible. A copy of the Round 6 MOU can be found in Appendix 13.

### **2.5 Selecting New Countries**

The countries included in the Afrobarometer sample up through Round 4 were, for the most part, among the continent's leading political and economic reformers. Thus, in some respects, we were already working in many of the most accessible (politically and logistically) and best-resourced

countries on the continent. In Round 5, the Network underwent a major expansion phase, increasing the number of countries from 20 to 35. This expansion has, of necessity, taken the Network into less open societies with much more mixed records on reform. Nonetheless, the Afrobarometer sample has always been diverse enough to demonstrate that it is also possible to conduct high quality surveys under more challenging circumstances. Countries such as Uganda and Zimbabwe have long presented us with greater challenges both of fieldwork management and of interpretation, but have simultaneously confirmed the feasibility of conducting this work under a wide range of political, economic, social and ecological conditions. Similar challenges were also noted particularly in some new countries in Round 5. The network has learned important lessons from these experiences and is well prepared for Round 6.

In identifying any additional expansion countries, the Afrobarometer will continue to be guided first and foremost by three key criteria for determining survey feasibility:

- 1) ***Political climate*** – the political environment must be sufficiently open to allow individuals to respond to all questions freely and honestly.
- 2) ***Nationally representative sample*** – Achieving a nationally representative sample requires availability of a reasonably reliable sampling frame, usually a census that is not more than approximately 10 years old (without major population movements in the interim). In addition, in terms of both security and logistics it must be possible to reach all – or very nearly all – parts of a country at a reasonable cost.
- 3) ***National Partner*** – We normally require an in-country partner organization that has the skills and capability – with training, guidance and technical backstopping from the Afrobarometer – to oversee the implementation of fieldwork.

## **2.6 Selecting New Partners**

When seeking a new partner in any given country, the managing Core Partner will issue a request for bids that is widely circulated to university, private, and non-governmental research entities. The aim is to attract at least three competitive submissions and to select as National Investigator/Partner the individual and/or organization that offers the best combination of skills, experience and cost.

Once inducted into the Afrobarometer Network, we hope that NIs/NPs will lead several rounds of surveys and communications activities in their respective countries. If, however, the performance of any Partner falls short of agreed objectives at any time, the bidding process may be reopened. While there will be some natural turnover within the Network, our strong preference is to establish lasting organizational relationships.

## Section 3: Survey Management

The secret to successful survey implementation is careful advance planning. Remember the “Six Ps”: ***Prior Planning and Preparation Prevent Poor Performance!*** As leader of a Country Team, the National Investigator is responsible for anticipating what needs to be done in all aspects of a survey and for making it happen.

From the past five rounds, we have learned about certain contingencies that often arise and about essential requirements for survey management. The following guidelines are intended to help NIs plan ahead.

### 3.1 Job Description: National Investigator/Co-National Investigator

Whether the Country Teams have one or two persons in the leadership position, their functions are the same. The NI/Co-NI role is to manage all aspects of an Afrobarometer survey, including:

- Supervising contractors (where applicable)
- Recruiting the Country Team
- Preparing and managing the survey budget
- Completing the questionnaire by indigenizing questions as needed and developing country-specific questions
- Overseeing questionnaire translation and pre-testing
- Conducting Fieldworker and Supervisor training
- Reviewing and finalizing translations after the pre-test
- Obtaining official clearances
- Planning and managing fieldwork deployment, including transport
- Overseeing data entry
- Ensuring quality control in all phases of data collection and entry
- Delivering a clean data set on time
- Preparing and presenting Media Briefing, Press Releases, Dispatches, and a Summary of Results according to the communications plan described in Section 9
- Holding a donor/embassy briefing within 5 months of the completion of fieldwork and producing a report on this briefing.
- Being personally present at all events where results are released
- Tracking media coverage of release events and preparing a dissemination report
- Providing all reports and deliverables as required in the contract and according to the agreed schedule

A draft timeline of all survey activities will be developed during the Round 6 Planning Workshop in South Africa. A final timeline, agreed between the NI/NP and the Core Partner, will be part of the contract signed for survey implementation.

### 3.2 Contracting

While the Afrobarometer is a Network, and we see the relationships among its members as Partnerships, the actual implementation of surveys and release of results are governed by means of fixed-price contracts between Core Partners and National Investigators, National Partner organizations, and/or Data Collection Firms/Contractors.

These contracts spell out as clearly as possible the specific expectations of either the NI/NP or the Contractor, as well as the Core Partner's responsibilities for providing technical support. They are structured in terms of a series of **payments** that are made **upon receipt of required deliverables**. Note that contracts provide for an initial payment to be made upon signing of the contract to cover sampling and questionnaire indigenization and translation costs, with the aim that these activities are completed well in advance of training and fieldwork. The standard schedule of deliverables and payments is as follows:

- The first payment of approximately 10% is made upon signing of the contract (which includes a project workplan and timetable as an attachment), with the intention of covering the costs of sampling and questionnaire indigenization and translation. This payment can be made up to several months in advance of training and fieldwork.
- The second payment is the largest (approximately 50%), as it is intended to cover the costs of fieldwork, the most expensive part of project implementation. The deliverables required from the National Partner *before receiving* this payment include an approved sample, indigenized and translated and back-translated (see protocol in Section 4.4) versions of the questionnaire, a schedule and program for the training workshop, and a complete set of route plans for field teams.
- The third payment (usually 30%) is made upon receipt of final versions of local language translations of the questionnaire, an approved clean data set, a double-entered dataset containing at least 100 cases, 25 scanned questionnaires, a completed Sampling Report (that provides details of the drawn sample, information on all substitutions, and details of the final sample; see Section 5.8), and a Fieldwork and Methodology Report (see Section 6.7).
- The fourth payment (usually 10%) is made after completion of release of results and upon provision of the following final deliverables: a minimum of four Press Releases, four powerpoint Media Briefings, and two Dispatches, as well as a donor powerpoint, a Summary of Results, a Dissemination Report (including a listing of press coverage, and clippings), a report on the Donor Briefing, a completed Survey Technical Information Form, and an auditable Final Financial Report.

The contractual terms requiring that all specified deliverables be received before a payment can be made will be strictly enforced. Core Partner Project Managers will be responsible for certifying, *in writing*, to finance staff that all of the required deliverables have been received before a payment can be authorized.

In addition, the contracts will contain penalty clauses that will apply in the case of either late delivery of data sets, or late release of results. Again, these clauses will be strictly enforced in Round 6. There will be provision for requesting extensions with cause, but these will be granted on a case-by-case basis.

A sample Round 6 Letter of Agreement can be found in Appendix 2.

Note that the Network includes a wide variety of partnerships. In particular, in a few countries, the NI will not implement fieldwork directly. Rather, data will actually be collected by specialized data collection firms contracted either by the NI, or, more often, by the Core Partner directly. The details of the contracts will be adjusted accordingly. It is essential to note, however, that even when contractors are collecting the data, NIs are still expected to play a central role in project implementation, including participating in training, and monitoring and overseeing fieldwork implementation. The NI's role will remain especially important with respect to quality control of fieldwork. They should ensure that Contractors fully understand Afrobarometer methodology and

protocols, and that these protocols are being followed in the field. Contractors must provide NIs with a full schedule and route plans for the Field Teams, and NIs should conduct independent checks of fieldwork quality and supervision. If an NI raises concerns about the quality of the survey work and finds the Contractor is not responsive in immediately correcting the problems, the NI should contact the Core Partner immediately to convey their concerns.

### 3.3 Team Recruitment

The quality of a survey is only as good as the caliber of the people who run it. The NI/NP and/or Contractor should therefore place a premium on recruiting a well-qualified and highly motivated Country Team. Some of the desired qualifications of Team Members include:

- Translators (including back translators), hired temporarily to translate the questionnaire, should have a good understanding of colloquial rather than just formal use of the language they are translating.
- In general, Field Supervisors should have at least a first undergraduate degree, as well as experience in collecting data and managing teams of workers in the field, although candidates without a degree, but with extensive field experience, can be considered. Field Supervisors must also be trustworthy in handling money.
- Fieldworkers should have some university education, a strong facility in local languages, and an ability to relate to Respondents in a respectful manner.

In selecting all members of the Country Team, Afrobarometer encourages the recruitment of women. This is especially important at the Fieldworker level, where we strive for gender balance. Interviewer teams should be comprised of a minimum of 40% women, and a similar target should be set for Field Supervisors.

Fieldworkers should be selected on a competitive basis. The selection procedure may include tests of reading, speaking and comprehension of national and local languages and competence at following detailed instructions. We urge NIs to test more prospective Interviewers than are eventually trained, and to train more Interviewers than they will eventually hire. This will allow you to select the best performers, to weed out under-performers, and to keep a few trained replacements in reserve, in case of attrition.

It is essential that NIs issue **written letters of appointment** (see Appendix 7), including terms and conditions of service, to all persons hired to conduct Afrobarometer surveys. Terms and conditions should be discussed at the beginning of training, and letters of appointment should be completed with all selected Interviewers before fieldwork begins. Under no circumstances should Field Supervisors or Interviewers go to the field without a clear understanding of how much they will be paid (and for what) and how their field expenses will be covered. There is nothing so corrosive to field team morale, and thus to the quality of survey returns, as disgruntled Interviewers. Copies of all letters of appointment must be made available to Core Partner representatives upon request.

It is up to the NI to prepare a budget (see below) that provides strong incentives to Field Supervisors and Interviewers. If Survey Teams are adequately paid and provided with solid logistical support (transport, accommodation, meals), we are justified in demanding that they work hard. As the leader, the NI is charged with impressing upon the Field Teams the importance of the project and the need for everyone to do their best. Actual incentives paid to Field Supervisors and Interviewers should match the levels agreed with the Core Partner during the budget negotiation and contracting phase. The minimum daily rate for Fieldworkers will be the equivalent of US\$20.

### 3.4 Overall Survey Plan

In Round 6, Afrobarometer plans to continue the trend established over past rounds of steadily reducing the period of data collection. While Round 5 surveys were completed within two years, the R6 target is to complete all surveys within a space of 15 months. In order to meet this target, it will be essential for Core Partners and NIs to coordinate with each other in producing a survey schedule that meets the needs of both. We have learned from experience that surveys are best conducted at times other than (a) national election or referendum campaigns, (b) the rainy season, (c) any famine season, and (d) major national or religious holidays.

On the basis of the survey schedule to be agreed upon between NIs and Core Partners at the Round 6 Planning workshop in South Africa, the NI and/or Contractor in each country will establish **target dates for each survey stage**, especially submitting the budget, drawing the sample, translating the questionnaire, training the Interviewers, conducting fieldwork, entering and delivering data, and releasing results (see Appendix 3). Negotiations with the relevant Core Partner on the survey budget and the procedures for payments should be undertaken well in advance of the target fieldwork dates. In addition, in Round 6 we are especially encouraging partners to complete sampling and questionnaire indigenization and translation stages well in advance of fieldworker training. This goal is reflected in the revised schedule of deliverables and payments incorporated into NP contracts discussed above.

### 3.5 Survey Budget

Alongside this Survey Manual and the contract, the **approved survey budget** is the NI's main tool for managing the survey. The budget, which should be closely adhered to, indicates the resources available for various project activities. It is important that budgets reflect expected inflation rates as worked out by respective countries' national banks. Just as Core Partners must absorb foreign exchange rate fluctuations in funds received from donors, so National Partners and Contractors must absorb the fluctuations from the Core Partners.

When requesting survey funds and reporting on their expenditure, NIs are requested to use the approved budget template format in Microsoft Excel, which will be available from Core Partner Project Managers. Some specific notes on the template include the following:

- Note that the maximum budget **allocation for Senior Management** – which includes the NI, co-NI, and any other members of the Senior Management Team designated by the NI – will be fixed regardless of the structure of the team.
- Budgets should indicate **daily rates for Interviewers and Field Supervisors**. As indicated, National Partners will be contractually obligated to pay the specified rates. Again, the minimum daily rate for Interviewers will be the equivalent of US\$20.
- The category, which is likely to vary most across countries, in terms of the percentage of the budget, is **field transport**. Countries that are smaller, have better road/transport networks, and/or have more densely concentrated populations are likely to have much lower transport costs than countries that are larger, have poor road/transport networks, and/or have more dispersed populations.
- National Partners are **required to provide accident/health/death insurance** for all staff during the period they are hired to work on an Afrobarometer survey. If insurance costs are not included in the budget, the NP must provide the Core Partner with proof of existing insurance

coverage. The Afrobarometer urges NIs to give top priority to the personal safety of Interviewers but can accept no liability in the event of an accident.

- In lieu of including budget support for unspecified overheads, NPs should instead include line items for “other direct costs,” e.g., communications, administrative support, venue rentals and contingencies (up to 5 percent).

NPs must always keep in mind that funds cannot be disbursed until the required deliverables have been provided, and also that even once deliverables are received and a disbursement is approved, it can take anywhere from a few days to a couple of weeks to actually effect the transfers and receive the funds, depending on the banking policies in both the CP and NP countries. These factors should be taken into account when planning survey timetables and completing deliverables, especially when scheduling the training workshop. It is up to NIs to meet deadlines as outlined in their schedules in order to receive funds in time and keep project activities on track.

### 3.6 Next Steps: Sampling, Questionnaire Preparation and Training

The next steps in survey implementation include: indigenizing and translating the questionnaire (Section 4), and drawing the sample (Section 5). Training of Fieldworkers and Supervisors, including pre-testing the questionnaires, is described in detail in Section 6.

### 3.7 Fieldwork Deployment Plan

In general, the Country Team should be constituted along standard Afrobarometer lines (with at least 4 Field Teams, and with 1 Supervisor and 4 Interviewers per team). This Field Team structure fits neatly with the intended size of the sample, as follows:

If each Interviewer completes 4 interviews per day, then:  
Each field team will complete 16 interviews per day, and;  
Each field team will cover 2 EAs per day (@ 8 interviews per EA)  
And 4 field teams will cover 8 EAs per day.

At this rate, it will take the 4 Field Teams 18.75 days, or **about three weeks** including rest and travel days; to complete a standard survey that covers 150 EAs and 1200 cases. It is up to the NI to devise the best combination of resources to get the job done in each country, but the goal should be to complete all data collection in a period no longer than one month. Our experience has been that a smaller, well-managed teams produces data of higher quality (e.g., lower rates of missing data), although for countries with larger samples (2400 cases) and/or more interview languages, it will likely be necessary to increase the number of Field Teams to ensure that all fieldwork can take place within one month.

Once you know how many people you will have in the field and for how long and (based on the sample) where they will travel, it becomes possible to draw up a **fieldwork deployment plan**. This should estimate the requirements for transport, accommodation and meals in order to maintain teams in the field. Vehicles will have to be hired, rest houses booked, and per diems calculated for meals and incidental expenses. A set of route plans with a list of EAs to be sampled, the estimated dates of the visit, and the number of interviews to be conducted in each EA should then be prepared for each field team.

The **fieldwork deployment plan** should in large part be driven by the need to *match Interviewers and their language skills with the languages spoken in the areas to be visited*, so that opportunities for respondents to be interviewed in their language of choice are maximized, and best use is made of

the questionnaire translations. We find too often that after putting considerable effort into producing top quality translations of the questionnaire, they are in the end under-utilized. This occurs for a variety of reasons, but one critical factor in some cases has been a mismatch between the Interviewers deployed to a region and the languages spoken in the region. Interviewer language skills must therefore be made a central component in the development of the fieldwork deployment plan.

The **fieldwork deployment plan** should also be driven by the need to match interviewers and their language skills with the languages spoken in the areas to be visited, so that opportunities for respondents to be interviewed in their language of choice are maximized, and best use is made of the survey translations.

It is an Afrobarometer requirement that Interviewers **move together as a team** under the guidance of the Field Supervisor (FS). In other words, Field Teams should work each day in the same EAs, travel in a small group in the same vehicle, and stay together each night in the same accommodations. This arrangement facilitates the **field supervision** that is so essential to **quality control** in data collection. In most cases, NIs should arrange to hire a 4x4 vehicle for each rural field team that is capable of off-road travel to remote sample sites. Where feasible, NIs may consider hiring 4X4 vehicles for field teams assigned to rural EAs from a central location. Alternatively, Field Teams may use public transport to reach urban centers in other regions, and hire suitable transport for the team from there. In urban areas, or where the transport infrastructure is good, minibuses can be hired on a daily basis, but these should be dedicated to project activities only.

Deployment planning also involves preparing field kits for each team. For the Field Supervisor, these include a list of sample sites, EA maps, boxes of blank questionnaires, letters of introduction, a flashlight with batteries, a ruler and a stapler (for questionnaires that come apart), a table of random numbers, rulers or a transparent grid (for selecting start points in the field due to EA substitution), etc. The Interviewers must have either identification tags or bibs, clipboards, pens, numbered cards, plastic folders (or bags) to protect papers from the rain, and personal raingear.

### **3.8 Obtaining Official Clearances**

Seeking official clearance often just invites some official to say “No.” If possible, therefore, we proceed in this study on the assumption that we have the right to do so, i.e., without requesting official clearances.

In practice, however, we recognize that legal, political and traditional protocols may have to be observed. These can usually be addressed by obtaining an official research authorization or a letter of introduction from a national authority or paying a courtesy call to the local traditional leader. In general, we leave it to NIs to determine in their own circumstances, the extent to which such clearances are required and, if necessary, to obtain them. However, if there will be an obligation to actually submit the Afrobarometer questionnaire for official approval in order to obtain such clearances, National Partners are asked to inform Core Partners of this situation so that they can work jointly to determine how to meet these obligations without risking an attempt at state interference in the survey. Under no circumstances can any changes be made to the questionnaire based on requests from state authorities.

At minimum, FSs should carry a letter of introduction from the National Partner organization. And every Interviewer should have some form of official IDENTIFICATION like a badge that can be displayed on a shirt, a bib with the logos of the Afrobarometer and the National Partner organization, or a briefcase with these identifying marks.

We never accept conditions that require approval by authorities of the content of the questionnaire or that require changes in question wording.

When in the field, we urge FSs to pay courtesy calls to local government authorities and traditional chiefs in the EAs in the sample. Local dignitaries should be informed; but, in order not to compromise the independence of the study, they should be strongly discouraged from accompanying the survey team during its work.

### **3.9 Planning Field Communications**

The NI should plan ahead to establish daily communication with each Field Team. Based on experience, there are several different models. Cell-phones or phone cards can be issued to every Field Supervisor, along with instructions to call headquarters each day. The NI then becomes the hub of a wheel, communicating to each Team, the recommended way to deal with common field problems. Or a roving Quality Controller can be appointed to make the rounds, visiting teams while they are in the field. This personal approach has the advantage of providing an additional layer of hands-on quality control and a mechanism for carrying early returns back from the field.

### **3.10 Financial Control**

While in the field, Field Supervisors are fully responsible for their teams, including their transportation and making accommodation arrangements. The NI must therefore issue each FS with sufficient cash funds to purchase fuel and lodging and to cover related contingencies. Or NIs may decide to distribute the resources broadly by issuing each Interviewer with a per diem advance. Either way, it is imperative that the National Partner Organization apply a strict system of financial control to obtain signatures for cash advances and to ensure that other project funds are properly spent, receipted, and accounted for.

### **3.11 Technical Collaboration**

The Core Partners stand ready to assist NIs by providing Technical Assistance (TA) with survey planning and implementation. The level of TA provided will depend on the experience of the NI/NP, the CP's assessment of NI/NP capacity, and requests for assistance from NIs/NPs. In general, the CP would like to send a representative to each country at least once during the survey cycle even with experienced partners. Most often this visit will occur during Fieldworker Training. This collaboration helps to maintain Network ties, and reinforces the international dimensions of the Afrobarometer. In many cases, CPs will visit countries on two occasions during the survey cycle (e.g., during training and again during release of results). New NPs will receive more intensive technical assistance. For most countries, a CP representative will at minimum, be present for 5-7 days during one or more of the following critical phases:

- 1) sampling and questionnaire translation;
- 2) Interviewer training, pre-testing;
- 3) fieldwork start-up and quality control;
- 4) data entry start-up;
- 5) release of results.

As much as possible, and especially during busy periods, CPs will draw on the expertise of experienced NPs to assist with technical collaboration in other countries.

Note however that, the purpose of technical assistance is always to backstop and support NIs, not to perform their work for them or take over responsibility for managing key project tasks.

## Section 4: The Questionnaire

### 4.1 The Round 6 Questionnaire

The Round 6 questionnaire has been developed by the Questionnaire Committee after reviewing the findings and feedback obtained in previous Rounds, and securing input on preferred new topics from a host of donors, analysts, and users of the data. About two-thirds of the items from the Round 5 questionnaire remain the same, and about one-third are new items. All partners had the chance to review the Round 6 questionnaire at the Planning Workshop in order to reach a common understanding of the conceptual framework that underlies the design of the questionnaire. Because the instrument has been designed with theoretical objectives in mind (e.g., with several measures combining into indices of core concepts), there is limited room for adding, subtracting or changing items at this stage.

NIs will be provided with a Master Questionnaire in English, French or Portuguese to serve as the basis for the questionnaire to be used in their own country. In general, it is essential to **strictly maintain the wording of questions** to preserve the comparability of results across countries and over time. But there are some exceptions. In fact, the first step in each country will be to “indigenize” the questionnaire. This consists of two tasks: 1) adding country specific questions; and 2) making the minor adjustments required on certain questions so that they fit the country context, e.g., by inserting country-specific categories and codes for languages and regions, by changing country references (e.g., from “Namibia” to “Botswana”), or by using the correct reference for government institutions (e.g., “Parliament” or “National Assembly”). Each of these tasks is described in detail below (Sections 4.2 and 4.3).

The next step is to have the questionnaire translated into local languages. This is one of the most critical steps in the entire survey process for obtaining good quality data from our interviews. The data are only comparable to the extent that the various translations of the questions ask the same thing and capture the same meaning. A detailed and by now well-tested translation protocol is described in Section 4.4, and NIs are expected to follow these steps carefully and completely.

Finally, in the latter sections of this chapter we will provide detailed information on both general guidelines for filling in the questionnaires, and specific information relevant to each of the three main sections of the questionnaire (introduction/sampling, core attitudinal questions, and contextual data). It is essential that NIs are fully conversant with these details so that they can convey them to Fieldworkers during the training workshop.

### 4.2 Country-Specific Questions

In the Round 6 questionnaire, five spaces are included for country-specific questions (CSQs), question 82 through 86. Well-developed CSQs can enhance public engagement with and visibility of the results. When Afrobarometer results touch on particularly “hot” issues in a country, e.g., the desirability of extending term limits in Nigeria, or satisfaction with constitutional reform in Kenya, then these specific results can serve as a “hook” to engage users, after which they may be introduced to other relevant findings.

NIs are therefore urged to make the best possible use of the opportunity offered by country-specific questions. The best topics for these questions can be identified in consultation with key stakeholders and potential users of the data. Actual question text should be tightly focused and clearly worded. If you have identified good question topics, but need help on refining question wording, Core Partners will be happy to assist. All country-specific questions should be submitted in advance to Core

Partners for approval. Core Partners will also share the proposed questions with the Questionnaire Committee for comments.

In general, it is best to insert the country-specific questions in the spaces offered on the questionnaire (Q82 – Q86). However, with approval of the Core Partner, exceptions can be made for questions that clearly fit in well in other parts of the questionnaire. However, it is **extremely important to maintain the existing question numbers** throughout the questionnaire. Otherwise, it will be very difficult to create a standard template for merging data sets from different countries and different rounds. Therefore, if you do insert questions elsewhere, give it the same number as the previous question, but add the three letter country-specific suffix. For example, if Kenya adds an extra question on local government after Q67, it will be labeled “Q67-KEN,” and the following question would still be Q68. Questions 82 through 86 should also be marked with the country-specific suffix. And even if all five of these question numbers are not used (e.g., if only three country-specific questions are inserted at this location in the questionnaire), all five question spaces should still be left in the questionnaire, with the same question numbers, and a note inserted after any that are not used indicating “Not asked in [your country].” The following question on tribal/ethnic identity should always have the number Q87. **Do not disrupt the number sequence** of the questions that follow Q86. If you have any questions about how to number country-specific additions to the questionnaire, please consult a Core Partner.

The Round 6 questionnaire was developed using a “nested tables” structure, and it is important to understand and preserve this structure in order to maintain a consistent, stable and manageable format. Detailed instructions on how to edit the questionnaire appear on the introductory page of the document.

### **4.3 Indigenizing the Questionnaire**

#### **4.3.1 The Indigenization Checklist**

A detailed **indigenization checklist**, which identifies all of the questions that may require “localization” or “indigenization” to reflect specific country names, codes, institutions, etc., is now included in the questionnaire document itself (see R6 Master Questionnaire, notes on “Indigenizing the AB R6 Questionnaire” on pages 2-3). In addition to checking all of the questions listed in the questionnaire, NIs are requested to go through the questionnaire with a fine tooth comb to find any other questions or response sets that require “indigenization.” For changes proposed to any question other than those listed in the indigenization checklist, the NI should confirm the change with the Core Partner.

#### **4.3.2 Other Indigenization Notes**

A few other notes on indigenization include the following:

- 1) For the location information on the first page of the actual questionnaire to be filled (i.e., the first page of the Master Questionnaire following the instructions on indigenization and other issues), please keep the label “Region/Province” on the first-order administrative division that is listed, and ensure that responses are coded using country-specific codes. If the name of the first-order administrative unit in your country is something other than region or province, e.g., “state” or “commune,” you can **add** that label to the “region/province” label, e.g., “region/province/state.”
- 2) Please do not change the name for the lowest-order location information, “EA number.” This information should match the “official” EA identifiers (codes or labels) used in the sample frame, which may be either a string (name) or a numeric variable.

- 3) For the intermediate administrative levels or locations, however, the NI may indigenize by substituting the appropriate names for “district” and “town/village.” It is also acceptable to collect data for more than two intermediate levels (e.g., in Uganda we collect district, County, Sub-county, Parish-ward, and Town/Village). This information is normally captured as string variables, and generally should match – in name, variable type, and number of variables included – the information that identifies each EA in the original sample frame.
- 4) Note that the EA identifiers in some countries do not provide a unique identifier for each EA. For example, there may be an EA number 001 in each District or Province X. In these cases, we require that National Partners insert an additional variable into their data set, labeled `EAnumber_AB`, which assigns a unique code to each EA, either 001 through 150 for data sets with  $n=1200$  (and 8 interviews per EA), or 001 through 300 for data sets with  $n=2400$ . This allows the data set to be easily sorted by EA, which facilitates cleaning of certain variables and quality control of data, as well as analysis.
- 5) For national or local institutions, please be consistent throughout the questionnaire with the name used. For example, if the national legislative assembly in your country is referred to as “Parliament,” then all questions that refer to this assembly should use the language “parliament” or “member of parliament”, rather than having a mixture of references to “parliament” and the “national assembly.” The same is true for references to local government and the executive branch.
- 6) Particularly when indigenizing questions about local government or the national legislative assembly, be sure that the indigenized reference that you use is consistent with that used in the master questionnaire. In particular, it is very important to preserve distinctions in the master questionnaire between references to “Parliament” or “the National Assembly” as an institution (e.g., Q28C, Q34, Q45E, Q52), the representatives to those institutions collectively (e.g., “Members of Parliament”, e.g. Q37, Q47A, Q53B, Q59A, Q69) or an individual’s *own* representative to that institution (e.g., “Your Member of Parliament”, e.g., Q24B, Q68B). The same is true for references to institutions and representatives of local government. Please be especially careful when indigenizing these references.
- 7) For any question that is not appropriate in a given country (e.g., questions about traditional leaders in Cape Verde, questions about local government and on payment of government benefits to the elderly in some other countries, etc.) the question should be blocked out and not entered into the data set. Be sure to consult with Core Partner data managers about these questions. Also, again, please be sure to maintain the original numbering from the Master Questionnaire for all remaining questions.
- 8) If NIs consider that particular wordings are not appropriate to their national context on any question (e.g., references to “your member of parliament” in countries that use PR list systems), they should propose substitute wordings (in writing) to the relevant Core Partner. Any proposed modifications will be reviewed by the Afrobarometer’s Questionnaire Drafting Committee and may only be changed with their explicit written approval.

### 4.3.3 Country-Specific Code Assignments

Each country has been pre-assigned a prefix and a range of codes to use for questions that require country-specific response options. The assigned country-prefixes and code ranges for Round 6 are as follows:

<b>Country</b>	<b>Country Prefix</b>	<b>Country Code</b>
Benin	BEN	100-139
Botswana	BOT	140-179
Burkina Faso	BFO	180-219
Cape Verde	CVE	220-259
Ghana	GHA	260-299
Kenya	KEN	300-339
Lesotho	LES	340-379
Liberia	LIB	380-419
Madagascar	MAD	420-459
Malawi	MLW	460-499
Mali	MLI	500-539
Mozambique	MOZ	540-579
Namibia	NAM	580-619
Nigeria	NIG	620-659
Senegal	SEN	660-699
South Africa	SAF	700-739
Tanzania	TAN	740-779
Uganda	UGA	780-819
Zambia	ZAM	820-859
Zimbabwe	ZIM	860-899
Mauritius	MAU	900-929
Sierra Leone	SRL	930-959
Niger	NGR	1100-1139
Togo	TOG	1140-1179
Burundi	BDI	1180-1219
Cameroon	CAM	1220-1259
Cote D'Ivoire	CDI	1260-1299
Guinea	GUI	1300-1339
Ethiopia	ETH	1340-1379
South Sudan	SSD	1380-1419
Algeria	ALG	1420-1459
Egypt	EGY	1460-1499
Morocco	MOR	1500-1539
Sudan	SUD	1540-1579
Tunisia	TUN	1580-1619
Swaziland	SWZ	1620-1659

Additional country-specific coding ranges will be assigned to each country as it is added to the Afrobarometer Network.

### 4.3.4 Approval of Indigenized Questionnaires

Once the NI has “indigenized” the national language (English, Portuguese or French) version of the questionnaire, please send the whole document to your Core Partner Project Manager for final review (the CP/PM will also solicit comments from the Operations Manager/Field and/or the Network Data Manager). The Core Partner will give you the go-ahead once the questionnaire is ready for translation into national and local languages.

#### 4.4 Translating the Questionnaire

As mentioned, getting good quality local language translations is one of the most critical steps in the entire survey process. In the end, our data is only as good – and as comparable both within and across countries – as the quality and **consistency** of the local-language translations used to collect it. The following methodology should be used to ensure the best possible quality and consistency of local language translations.

The first step is to establish how many **local languages** will be used. This requires reconciling the particular geographic spread of the sample with the available budget resources, and the complications inherent in having too many local versions of the questionnaire. In principle, every language group that is likely to constitute at least 5% of the sample should have a translated questionnaire. In practice, because of the complications and costs introduced by too many versions of the questionnaire, it is desirable to limit the number of local language translations to no more than six, and preferably fewer. Countries and National Partners that have been part of the network for several Rounds should consult their Core Partner Project Manager and the Operations Manager (Fieldwork) to review the appropriate number of language translations to be maintained.

The NI should commission **experienced translators** to do all translation work. However, the NI should be cautious about hiring some professional translators who focus more on “formal” or “academically correct” versions of the local languages, rather than on the **day-to-day use of the language**. We recommend that NIs consider working with people who are experienced doing translations based on colloquial (everyday) use of the languages, especially journalists working at local radio stations or other media outlets.

In the case of languages that are written using scripts other than the Roman alphabet, which Interviewers may speak but not be able to read, it is suggested that the Interviewers work as a group with the translator to record the translation phonetically in a way that Interviewers can read and understand. Other concerns regarding languages of translations (e.g., where unwritten creole is widely spoken) should be discussed with the CP/PM and the Operations Manager/Field to reach an agreement about the best approach to translating questionnaires and establishing the language of interview.

##### 4.4.1 Translation Protocol

To ensure equivalence of meaning during translation, the following five-stage protocol shall be adopted:

**Stage one:** Hold an **initial conceptualization and familiarization** meeting with the translators to ensure that they understand the concepts, rationale and meaning behind each investigation item before they embark on translating. After this meeting translators produce their **first draft**.

**Stage two:** After completing the first draft, convene a **synchronization meeting** between NI team and all translators to reconcile the local translations and the national language version. The purpose of this meeting is to ensure that all translations have captured in the same way the meaning and rationale of each item in the questionnaire. After this synchronization meeting, translators embark on producing their second draft of translations based on the discussions and review of the synchronization meeting.

**Stage three:** The second drafts of each local language translations are given to an independent team for **blind back translation** back into the national language. These translators should not have seen or had any contact with the original national language version of the questionnaire.

**Stage Four:** A **second synchronization meeting** should be held between the back translators and the original translators to review the back translations. The original team of translators then further refines their translations based on the review of the back translations.

**Stage Five:** These revised translations are then submitted to **pre-testing** during the Interviewer/Supervisor Training Workshop and field practice. Feedback from the pre-tests should lead to final refinements of the translations to produce the final versions that will go to the field.

Please note that the local language translations should not be considered finalized and ready for photocopying for Fieldworkers until after inclusion of the final input from Interviewer training and fieldwork pre-tests. The final local language translations should use the Afrobarometer questionnaire format to avoid confusion between the national language version and the local language translation. All final local language translations should be submitted to the Core Partner when fieldwork starts.

Finally, it is important to recognize that it takes time to go through all of these steps and get good quality translations. NIs must start this process well ahead of the planned fieldwork dates so that the procedures can be carefully followed and there is not pressure to rush through translations in order to meet goals for fieldwork.

#### 4.5 General Instructions for Filling in the Questionnaire

The following are general points to keep in mind when filling in the questionnaire. The NI should ensure that all Fieldworkers understand these instructions:

- Always fill the questionnaire in **pen**, rather than pencil.
- **Circle** the correct code for each response, rather than checking it or using some other mark.
- If you circle the wrong code by mistake, or if the Respondent changes his or her mind, place an “**X**” over the wrong circle and then **CIRCLE** the correct answer.
- **Avoid missing data** (i.e., skipped questions, uncircled codes) at all costs.
- It is important to read out all introductions and lead-ins to new sections. This gives the Respondent a break, and also puts them in an appropriate mental context. All words that the Fieldworker should read out are indicated in **bold**.
- *Instructions to the Fieldworker* are written in *italics* and are usually enclosed in square brackets [ ]. These are not read out.
- Only read what is on the questionnaire. **DO NOT** paraphrase or interpret the questions. If necessary, repeat question slowly, or read the other translation. If people truly are confused, it is important to capture this with the “don’t know” response.
- Interviews should follow instructions on each question about whether or not to read out response categories/options. Carefully observe all *Do Not Read (DNR)* instructions.
- Fieldworkers should only conduct interviews in languages in which they are fluent, as approved by the NI. Each Fieldworker should go to the field with one copy of each of the local language questionnaires in which s/he is qualified to conduct interviews. NIs are responsible for selecting teams with appropriate language skills to meet the likely language requirements on their assigned field route. Selecting Interviewers who speak several

languages, and appointing teams with the maximum possible diversity of linguistic skills, is advised.

- When interviews are conducted in local languages, the questions and response categories should be read from the local language translation of the questionnaire **exactly as written**. But responses for all interviews will be recorded on the national language version of the questionnaire.
- Interviews should be conducted in the language of the Respondent's choice. If the Fieldworker is not fluent in the Respondent's preferred language, then either another Fieldworker with the necessary skills must be brought to the household to conduct the interview, or this should be marked on the questionnaire as an unsuccessful call ("respondent did not speak a survey language") and the household substituted.
- Only conduct interviews in official survey languages and using official translations. The Afrobarometer does not allow any ad hoc "field" translations for Respondents who would prefer to conduct the interview in a language other than the national language or one of the official local language translations. Again, if a selected Respondent cannot be interviewed in one of the designated survey languages using an official translation, it should be marked as an unsuccessful call, and the household should be substituted.
- If, however, teams encounter small differences of dialect that require some modifications to an official translation in certain areas, these may be done. However, such changes should only be made in consultation with the NI, the minor modifications should be recorded on the translated questionnaire, and they should be implemented consistently by all members of the team in that area. The changes should also be recorded in field notes and reported in the national Methodology and Fieldwork report.
- The Afrobarometer methodology does NOT require that the Interviewer display the response categories to the Respondent on a written SHOW CARD. Since many of our Respondents may be non-literate, we consider this procedure to be confusing at best and intimidating at worst. Because we do not display show cards, Interviewers must learn to ask all questions (and, where necessary, offer all response categories) ORALLY.

#### 4.6 The Contents of the Questionnaire

The questionnaire consists of three parts:

1. **Part 1** captures all of the **general information on the EA** of the interview, covers the steps for **selecting households and respondents**, and includes the **introduction** to the respondent and (pp.1-4). The first section (through EA-ROAD) is filled by the Fieldworker and Supervisor together, and the remainder is filled in by the Fieldworker.
2. Part 2 covers the **core attitudinal and demographic questions** that are asked by the Fieldworker and answered by the Respondent (Q1 – Q100).
3. Part 3 includes **contextual questions** about the setting and atmosphere of the interview, and collects **information on the Fieldworker**. This section is completed by the Fieldworker (Q101 – Q119).

We will review each section of the questionnaire in turn:

#### **4.6.1 Part 1: Introduction and Sampling**

- \* The **Respondent Number** on the top left of the first page is the permanent seven-digit case number, the first three digits of which identify the country as outlined in Section 4.3.3 above (e.g., ALG, BEN, BFO, BOT, BDI, CAM, CVE, CDI, EGY, ETH, GHA, GUI, KEN, LES, LIB, MAD, MLW, MLI, MAU, MOR, MOZ, NAM, NIG (Nigeria), NGR (Niger), SEN, SRL, SAF, SSD, SUD, SWZ, TAN, TOG, TUN, UGA, ZAM, ZIM). The country identification can be inserted when the question is indigenized (e.g. from NAM to CVE), but the rest of the number is **left blank**, to be assigned by the NI or data entry manager as returns (i.e. completed questionnaires) come back from the field. Note that the respondent number is a string variable since it begins with the letters that identify the country.
- \* The Interviewer completes the **Interviewer Number** at the center top of the first page.
- \* The Data Entry Clerk will also enter his/her **number** in the next set of boxes.
- \* On the top right of the first page is a temporary **Field Number** used to identify the questionnaire in the field. The Field Supervisors can use this number to keep track of which questionnaires they have handed out and received back.
- \* The **Field Supervisor** (not the Fieldworker) fills in the boxes that ask for information on (a) whether the return was back-checked; (b) to confirm that the questionnaire was checked (i.e., that all code boxes contain valid and plausible codes); and (c) whether the interview was conducted in an **urban or rural PSU**. Note: the urban/rural distribution in this box should exactly match the urban/rural distribution assigned in the sample.
- \* The FS signs the return AFTER he/she has confirmed that it is complete.
- \* The rest of the first page, which captures detailed information on the EA, should be filled in jointly by the Field Supervisor and the Fieldworkers as a team. They can start it when they enter an EA, and complete or correct it before they leave. All of the information from “Region/Province” through EA-ROAD **should be exactly the same on all eight questionnaires from the same EA**.
- \* The next two pages of Part 1 cover household and respondent selection. Fieldworkers are responsible for both of these stages of sampling, though Field Supervisors will also assist with proper selection of households. The instructions on the questionnaire, which are explained in more detail in Section 5, must be **closely followed**.
- \* **Unsuccessful Calls**. Interviewers must complete the box that records the reasons for unsuccessful calls. If the persons in Household 1 was not a citizen or only spoke a foreign language, circle a 4. If the person in Household 2 refused to be interviewed, circle a 1, etc.
- \* **Introductions**. Fieldworkers must administer the Introductions on the second and third pages of the questionnaire **exactly as written**. The wording of these statements conveys information about the purpose of the survey and the neutrality of your organization. In addition, each Field Supervisor will carry a copy of an official letter introducing your organization and the purpose of the survey.
- \* The Introductions also secure the Respondent’s **informed consent**, thereby meeting the ethical standards of Afrobarometer research. The Introductions also assure Respondents that their responses will be kept **confidential**. National Investigators are responsible for instructing Fieldworkers about the principles of informed consent and for ensuring that every Fieldworker signs a **Research Ethics Agreement**. The ethics form can be found in Appendix 6.

\* **Respondent Selection Procedure.** Fieldworkers must closely follow the instructions in questionnaire concerning the Respondent Selection Procedure on the third page of the questionnaire. This involves circling the correct numbers in the first box on p.3 to determine whether this interview must be with a man or a woman. The “first interview” box **only** applies to the very first interview that the Fieldworker conducts in the entire course of the survey (not the first interview each day). The purpose of gender alternation is to ensure an equal number of men and women in the sample. For the very first interview in the field, the Field Supervisor should assign half the group to start with men and the other half to start with women. Or a coin can be flipped to assign the first quota. Thereafter, the Fieldworkers alternate interviews by gender, starting each morning by referring back to their last interview of the previous day.

The Fieldworker then lists the names of all the persons in the household of the appropriate gender. **Note that only citizens of the country who are 18 years old or older on the day of the survey are considered as eligible respondents.** The total number of adults in the household (of both genders) is recorded in the boxes immediately below the list of names.

The Fieldworker must conduct the random selection of Respondents using numbered cards. Ask any member of the household to draw a card from a blind (face-down) deck. The number of the card chosen identifies the person on the numbered list as the Respondent who must be interviewed. We have found that, if male heads of household are asked to help select the Respondent by drawing a numbered card, they gain an understanding of the randomness of the procedure. As a result, they become somewhat more inclined to allow the Fieldworker to interview a young or female member of the household.

The Interviewer must remember to circle the number of the person selected from the list on p.3 of the return.

If the selected individual is at home and is willing to proceed, the interview can take place there and then.

\* **Call Backs.** If the randomly selected Respondent is not at home, the Interviewer must make an appointment to meet that person at a later time. Interviewers must make one return visit. Only if the selected individual is not present at the time of the call-back may the Fieldworker substitute another household. Remember: **We substitute households, not individuals.** So, go to the very next household and repeat the Respondent Selection Procedure. Once an interview is secured, the Interviewer records the number of calls (either 1 or 2, see bottom of p.3).

\* **Date and Time.** To complete Part 1 of the questionnaire, the Interviewer records the date of the interview (day, month, year in that order, using two digits for each, i.e., DD-MM-YY) and the time the interview started (using a 24 hour clock, e.g., 0940 for nine forty a.m., or 2005 for five past eight p.m.).

#### ***4.6.2 Part 2: The Core Attitudinal and Demographic Questions***

The core of the questionnaire contains 100 questions in various conceptual areas.

\* To repeat, Interviewers must ASK QUESTIONS EXACTLY AS WORDED.

\* In the section that includes questions about democracy, Q26, Q29-Q30, and Q40-Q41, always read the question in the language of the interview, but always read “democracy” in the national language (i.e., English, French, Portuguese or Swahili). Translate “democracy” into the local language only if the respondent does not understand the national-language term. Be sure to ask ALL questions of ALL respondents, even if they have difficulty understanding the term “democracy.”

\* Many questions on this instrument are set up in an A/B “forced choice” format. As in the sequence beginning with Q16, Respondents are asked: “Which of the following statements is closest to your view? Choose Statement A or B” (of “Choose Statement 1 or Statement 2”). After the Fieldworker has read both statements and elicited either an “A” or a “B” (or “Statement 1” or “Statement 2”), s/he should probe for strength of opinion by asking “Do you agree, or agree very strongly?” The Fieldworker should be trained and supervised to ask the question exactly this way.

\* Some sets of questions are linked, with instructions that require, for example, that “*If No to the previous question, then select Not Applicable on this question.*” See, for example, Q90A and Q90B. Interviewers must be trained and supervised to execute these instructions accurately. Sets of linked questions include the following:

thisint \* Q101 (gender)  
prevint \* thisint (gender)  
reasons for unsuccessful calls (nocall), households 1 – 7  
Q8A-E \* Q8F  
Q24A-F \* Q25A-B  
Q29E \* Q29F \* Q29G  
Q55A \* Q55B  
Q55C \* Q55D  
Q55E \* Q55F  
Q55G \* Q55H  
Q55I \* Q55J  
Q55K \* Q55L  
Q55B, Q55D, Q55F, Q55H, Q55J, Q55L \* Q56  
Q56 \* Q57A-B  
Q60pt1 \* Q60pt2 \* Q60pt3  
Q60pt1-pt3 \* Q61A-B  
Q72 \* Q73A-E  
Q74A \* Q74B  
Q87 \* Q88A-B  
Q90A \* Q90B  
Q112 \* INTVNO, Q111, Q113, Q114, Q115, Q116, Q117

Full details of all sets of linked questions and how to clean the data for them can be found in Appendix 10.

\* Some questions call for multiple responses, e.g. see Q29E-G, 60pt1-pt3, and Q74A-B. This is indicated in the instruction and in the heading to the response columns. An instruction that says *Accept up to three answers* means that either one, two or three answers are acceptable, depending on how many opinions the Respondent has. If the Respondent does not have a second or third response, then the Interviewer must circle the appropriate code (usually 9996 = no further reply) in the relevant column.

\* Q87 requires the Interviewer to elicit an ethnic group from the Respondent. Please note that this identity, exactly as the Respondent has stated it, must be inserted into the wording of the next two questions (Q88A and Q88B).

#### **4.6.3 Part 3: Contextual Data and Interviewer Information and Certification**

\* Fieldworkers have additional responsibilities for data collection **immediately after the interview is complete**. On the basis of their own observations before, during and after the interview (rather than by asking Respondents) they record the conditions under which the interview was conducted. These data are recorded as responses to an additional 10 questions in Part III of the questionnaire (Q101 -

110). For example, Fieldworkers record the conditions of the interview (Q106-109) and the attitude of the Respondent (Q110).

\* Interviewers also complete some demographic information on their own background (Q111-117). They write their name in the space provided (Q111) and insert the same assigned two-digit Interviewer number that was entered on the top of the first page (Q112).

This set of systematic questions provides researchers with additional options for analysis. It becomes possible, for example, to test whether conditions in the locality systematically affect popular attitudes. It also becomes possible to examine whether the presence of others during the interview causes Respondents to self-censor or otherwise change their opinions.

\* Q118 allows the Fieldworker to write down other observations not covered by questions about the interview setting.

\* Q119 requires the Fieldworker to certify with his/her signature that all Afrobarometer sampling and interview protocols were followed. We regard this signature as ethically and legally binding.

\* Q120 similarly allows the Field Supervisor to record observations, and finally, Q121 requires the Field Supervisor to certify with his/her signature that all Afrobarometer sampling and interviewing protocols were followed. This signature, too, is regarded as ethically and legally binding.

\* For the first time in Round 6, we are also asking that Data Entry Clerks sign the questionnaire when they complete entry. If the questionnaire is double entered by two (or more) different clerks, then each clerk who entered it should also sign it.

## Section 5: Sampling

### 5.1 Introduction

This section presents a standard protocol for drawing a **national probability sample** for an Afrobarometer survey. Please remember that regardless of whether or not a previous survey has been done in a country, **an updated sample frame must be obtained and a new sample must be drawn for each round of the Afrobarometer.**

Sampling is one of the most technically complex stages of the survey process. One of the challenges in previous rounds has been timing of sample preparation and review relative to desired dates for Fieldworker Training and planned start-up of fieldwork. It is essential that samples be completed well in advance of training so that maps can be obtained, route plans drawn up, start-points selected, and all other essential pre-training tasks completed. However, in many countries, samples have not been drawn and submitted for review until very shortly before planned dates for Interviewer Training. Since samples require careful review and sometimes require several exchanges between the NP and Core Partners and/or the Sampling Specialist to clarify and finalize all details, this has sometimes forced NPs to delay training and fieldwork until samples are complete. This is the reason (along with similar issues related to indigenizing and translating questionnaires) that we are strongly encouraging partners to complete sampling and questionnaires well in advance of planned dates for Fieldworker Training and the start-up of Fieldwork.

The standard sample size for Round 6 surveys will be either 1200 or 2400 cases. A larger sample size of 2400 is preferred in societies that are extremely heterogeneous (such as South Africa and Nigeria), or where there is interest in doing extensive sub-national analysis.

The sample is designed as a **representative cross-section** of all citizens of voting age in a given country. The goal is to give every adult citizen an equal and known chance of selection for interview. We strive to reach this objective by (a) strictly applying **random selection methods** at every stage of sampling and by (b) applying sampling with probability proportionate to population size (PPPS). A randomly selected sample of 1200 cases allows inferences to national adult populations with an average margin of sampling error of no more than plus or minus 3 percentage points (2.8 points, to be exact) at a confidence level of 95 percent. If the sample size is increased to 2400, the margin of sampling error shrinks to plus or minus 2 percent.

### 5.2 Sample Universe

The sample universe for Afrobarometer surveys includes all **citizens of voting age** within the country. In other words, we exclude anyone who is not a citizen and anyone who has not attained this age (usually 18 years) on the day of the survey. Also excluded are areas determined to be either inaccessible or not relevant to the study, such as those experiencing armed conflict or natural disasters, as well as national parks and game reserves. As a matter of practice, we have also excluded people living in institutionalized settings, such as students in dormitories, persons in prisons, police/military barracks, hospitals/nursing homes, or quarantined areas. Other adaptations may be necessary within some countries to account for the varying quality of the census data or the availability of census maps. We also recognize that across all countries where we work, attaining voting age is not necessarily the same as attaining 18 years. Where we find voting age to differ from 18 years, we have restricted our sample universe to citizens who have attained 18 years of age, and not voting age.

What do we do about areas experiencing political unrest? On one hand we want to include them because they are politically important. On the other hand, we want to avoid endangering Fieldworkers

or stretching out the fieldwork over many months while we wait for the situation to settle down. Because it is difficult to come up with a general rule that will fit all imaginable circumstances, we make judgments on a case-by-case basis on whether or not to proceed with fieldwork or to exclude or substitute areas of conflict. National Partners are requested to consult Core Partners on any major delays, exclusions or substitutions of this sort.

### **5.3 Census Data**

NI's will use the most recent official national census data as the sampling frame for Afrobarometer surveys. Where recent or reliable census data are not available, NIs are asked to inform the relevant Core Partner before they use any other demographic data. Where the census is out of date (usually more than about five years old), NIs should consult with the national census or statistics office to obtain official population projections, or with a demographer to obtain the best possible estimates of population growth rates. These should be applied to the outdated census data in order to project population figures for the year of the survey. It is important to bear in mind that population growth rates will vary by region and (especially) between rural and urban localities. Therefore, any projected census data should include adjustments that take such variations into account. Wherever possible, the sample frame should exactly reflect the population of the sample universe, i.e., including only citizens aged 18 and above. However, if adequate data or projections are only available at the total population level (rather than adults only) this is a next best option. Please note that Afrobarometer requires the use of population data, not the number of households, as the basis for stratification and for drawing the sample.

We also ask NPs to provide the Network with information on how “urban” (and “semi-urban”, where applicable) areas are defined in their census frame. Since countries use different criteria to determine what constitutes an urban population, it is important that we capture this information in our samples for comparative purposes. Populations excluded from the census frame should also be noted. This information should be included in the sampling report (see Section 5.8).

To obtain all of this information, we urge NI's to establish collegial working relationships with professionals in the national census bureau, not only to obtain the most recent census data, projections, and maps, but to gain access to sampling expertise. NI's may even commission a census statistician to draw the sample to Afrobarometer specifications, provided that provision for this service has been made in the survey budget, and the census office is willing to provide sufficient details on the sample drawn so as to meet Afrobarometer's requirements for reviewing and approving the sample. In addition, as NPs increasingly engage over the long term with Afrobarometer stakeholders (see Section 9.1), they should consider including members of the statistics/census office among this group. These individuals are often interested in knowing and being engaged with how their census data and samples are put to use, and they also have an understanding of sampling methodologies that can be a valuable contribution in public discussions of these issues. Statisticians may also be interested in conducting their own analyses of Afrobarometer data.

Where NPs would find it helpful, the Network will be able to provide a letter of support on behalf of the NP to the census or statistics bureau and/or the relevant ministry, that provides an introduction to the Afrobarometer, highlights the Network's international status and standing, and requests the bureau's assistance and cooperation as a contribution toward maintaining the Network's high quality standards. NPs should contact their CP well in advance of the start of the sampling process with contact details for the relevant offices and individuals to be approached if this action is requested.

Regardless of who draws the sample, the NIs should thoroughly acquaint themselves with the strengths and weaknesses of the available census data and the availability and quality of enumerator area (EA) maps. The exact census data used, its known shortcomings (if any), and the source or basis

of any projections made from the data should be specified in the Sampling Report (see Section 5.8) and on the Survey Technical Information Form (see Appendix 12), and cited in country reports.

At minimum, the NI must know the size of the national population 18 years and over, the distribution of that population across regions, and the breakdown between urban and rural population within each region in order to specify how to allocate primary sampling units (PSU's) in the sample design. National investigators must obtain this data before they attempt to draw the sample.

## 5.4 Sample Design

The Afrobarometer uses a **clustered, stratified, multi-stage, probability sample design**.

To repeat the main sampling principle, the objective of the design is to give every adult citizen an *equal* and *known* chance of being chosen for inclusion in the sample. This ensures that the survey results will provide an unbiased estimate of the views of the national voting age population. We strive to reach this objective by (a) strictly applying **random selection methods** at every stage of sampling and by (b) applying sampling with **probability proportionate to population size**.

To increase the precision of our estimate, we **stratify** our sample of either 1200 or 2400 interviews by the key social characteristics in the population, usually sub-national area (usually the first-order administrative division within the country, e.g., region or province) and residential locality (urban or rural). Stratification reduces the likelihood that distinctive types of people (e.g., those living in particular regions, belonging to particular ethnic or language groups, or living in the city or countryside) are left out of the sample. The **proportion of the sample allocated to each stratum** should be the same as its proportion in the national population as indicated by the updated census figures.

Because very few of our countries' census data provides a list of individual citizens for public use, we **cluster** them into units for which we do have reliable data, such as households and/or enumerator areas. Clustering also helps us achieve greater logistic efficiency and lower the costs of contacting our sample. For instance, the standard Afrobarometer practice is to cluster eight (8) interviews in a single primary sampling unit (PSU). This drastically reduces the costs we would incur compared to traveling to eight different PSUs to collect one interview in each. However, we must remember that whereas **stratification increases the precision** of our estimates, **clustering reduces precision**. All other things being equal, people who live closer together will tend to share more similar views due to the effects of common information networks, shared class or ethnicity, and similar factors.

The primary sampling unit (PSU) is the smallest, well-defined geographic unit for which reliable population data are available. In most countries, these will be **Census Enumeration Areas** (or EAs). From this point, we will use the two terms (PSU and EA) interchangeably. Most national census data and maps are broken down to the EA level. Given the Afrobarometer standard clustering of 8 interviews per PSU/EA, a sample size of 1200 must therefore contain 150 PSU/EAs ( $1200 \div 8$ ). Samples of 2400 will have 300 PSU/EAs ( $2400 \div 8$ ). In some countries (e.g. South Africa), we have managed to distribute the sample to an even greater number of PSUs, by conducting 4 interviews per PSU, instead of 8.

To complete the process of sample design, we **allocate** the 150 PSU/EA's (or 300 with a sample size of 2400) across the strata based on the proportion of the sample allocated to each.

For example, in a country with a sample size of 1200, if the urban areas of Province A constitute 10 percent of the current national voting age population, then the sample allocation for this stratum should be 15 PSUs ( $150 \text{ PSU's} \times 10 \text{ percent}$ ). If the rural population of Province B constitutes 4

percent of the current national voting age population, then the allocation for this stratum should be 6 PSU's (150 x 4 percent).

Note that in some countries, the NI may be concerned that a random sample will miss or under-represent politically important minority groups or sparsely populated regions. It may be desirable to ensure that the number of cases collected from such groups or regions be sufficient to allow generalizations about the attitudes of this group. Under these circumstances, **over-sampling** is permissible. This has been done in previous rounds, for example, among Toaureg-populated regions of Mali, among Coloured and Indian minorities in South Africa, on Zanzibar in Tanzania, and in Northeastern Province of Kenya. The parameters for oversamples should be defined based on the same strata as those used for producing the nationally representative sample, and not on other population characteristics (e.g., “we will do an oversample in the districts X, Y and Z”, rather than “we will do an oversample among people of ethnic group A”). Oversamples should be planned before the sample is drawn. In strata to be oversampled, the number of PSUs allocated to the strata should be increased as necessary, balanced by decreases in the numbers allocated to well-sampled strata. The NI should consult their Core Partner about any planned over-sampling and keep detailed records to allow accurate weighting factors to be calculated to correct for over-samples at the stage of data analysis.

## 5.5. Sampling

In multi-stage sampling, we select geographically defined *sampling units* of decreasing size at each stage. The Afrobarometer sampling process has **four stages in urban areas, and may have five stages** in rural areas. This is because in rural areas we may first select *secondary sampling units* (SSUs) in order to reduce the traveling distance between PSU's, and hence the costs of fieldwork. Wherever possible, and always in the first stages of sampling, random sampling is conducted with **probability proportionate to population size (PPPS)**. The purpose is to guarantee that larger (i.e., more populated) geographical units have a proportionally greater probability of being selected in the sample.

**IMPORTANT:** The household and respondent stages of sampling are conducted primarily by Fieldworkers. Fieldworkers must be carefully trained and supervised to ensure that they follow Afrobarometer sampling instructions to the exact letter. These sampling instructions are summarized below and spelled out on the second and third pages of every questionnaire. Field Supervisors are responsible for ensuring that their teams of Fieldworkers understand their parts of the sampling methodology and execute them correctly.

The following sections detail the sampling process in rural and urban areas, respectively.

### 5.5.1. Sampling Rural Respondents – 5 Stages

In the first stage, we randomly select *secondary sampling units* (SSUs) in which we will subsequently select all rural primary sampling units. **Note: This stage is skipped if the use of SSUs has not been approved for a country** (see below).

In the second stage, we randomly select two *primary sampling units* (PSU's) from within each selected SSU.

In the third stage, we randomly select *sampling start-points* (SSPs) within the selected PSUs.

In the fourth stage, we randomly select eight *households* within each selected PSU.

And in the fifth and final stage, we randomly select an individual **Respondent** from within each selected household.

We shall now deal with each of these stages in turn.

#### 5.5.1.1 STAGE ONE: Selection of Secondary Sampling Units (SSUs) in Rural Areas

Most Afrobarometer countries have large rural populations, often spread over vast distances. For most countries in Rounds 1, 2 and 3 we began our sampling by drawing a random sample of PSUs from a frame that included all of the PSUs in each stratum. But this has often required traveling long distances between far-flung PSUs, with whole days often taken up by travel rather than conducting interviews. For some countries, we have therefore introduced a prior stage of sampling in rural areas in order to reduce the costs of travel. In this stage, we will identify geographic areas that are larger than PSUs, but smaller than regions/provinces, known as Secondary Sampling Units (SSUs). We will first randomly select a sample of SSUs, and then 2 PSUs will be randomly selected from each SSU. In effect, this causes an additional level of clustering of our sample, but if the level of the SSU is well-selected, the logistical benefits can be significant, without a major loss of precision due to the additional clustering.

There is however caution on our use of SSUs. The **SSU option should be used only where necessary in order to maintain the balance between loss of precision (through additional clustering) and budget-saving benefits**. SSUs are not suited for use in countries with small geographical coverage, and we currently advise that the SSU should not be used in Lesotho, Swaziland, Malawi, Botswana, Burundi, Mauritius, Benin and Cape Verde. As a general rule, all NPs who wish to use the SSU option, no matter the country, should formally discuss this intention with the respective CP and the Network Sampling Specialist.

To select an SSU, it is best to start by identifying all of the levels of administrative division that are included in the national census frame. The first-order division is usually a region, province or state, and serves as the basis for stratification. The second-, third- and fourth-order administrative divisions (e.g., districts, divisions, communes, departments, etc.) on down to the EA as the lowest-order administrative division, should all be listed. Note that in some countries there may be as few as one or two such intermediate levels of administrative division, while in others there are as many as ten. List for your country those levels that are included in the census frame. For example, in Kenya, the first-order administrative division is province, which serves as the basis for stratification. The second-order division is district, third-order is division, fourth-order is location, fifth-order is sub-location, and finally, the sixth-order division is the EA.

In order to select an SSU, it will be necessary to know, for each of these levels of administrative unit: (a) the number of units in the country (e.g., 9 provinces, 46 districts, 260 divisions, etc.), and (b) the average number of EAs included in each level of administrative unit (which can be calculated from (a) if you know the total number of EAs). This information should be available from the census bureau, but if not, it will be necessary to make estimates based on perusal of the census frame.

In selecting an SSU, it is necessary to use an administrative level that is high enough – i.e., that includes enough EAs – so that we do not lose major sectors of the population or overly-cluster our EAs. But the level must also be low enough so that selecting two PSUs within the SSU will actually provide logistical benefits relative to selecting PSUs without any additional clustering into SSUs. The actual level of administrative division selected for the SSU will differ from country to country, but the following criteria should be used:

- The units must be included in the census frame structure, so that it is possible to clearly distinguish the population of one SSU from another.

- The units must be distinct sub-units of the first-order administrative division (i.e., province/region); their borders must not span across provincial/regional boundaries.
- The units must be smaller than provinces, but larger than PSUs/EAs.
- The units should not be so large that, by leaving one or more out, we may exclude large or distinctive sectors of the population. There should be, at a minimum, 150 to 200 of these units from which to sample.
- The units should also be small enough so that they are completely or mostly either urban or rural.
- The units should not be so small that they result in an excessive degree of additional clustering. There should be a minimum of about 20 EAs per SSU.
- The identification of the appropriate administrative level for SSUs should be done in consultation with Core Partners and the AB sampling advisor.

Once the level of the SSU is selected, the NI or sampling specialist should compile a sample frame of SSUs for each rural stratum in the sample. Each SSU should be enumerated according to its **rural** voting age population. The desired number of SSUs should then be randomly selected from within each stratum using the probability proportionate to population size (PPPS) method, as described in Appendix 5 (SSUs with no rural population should have 0 probability of selection). The number of SSUs to be selected in each rural stratum will simply be the number of PSUs allocated to that stratum in the sample design, divided by two.

For example, if Country Y has 12 provinces, 300 districts, and several thousand enumerator areas, we would use district as our SSU. If the population is 80% rural, we need 120 rural PSUs, so we will randomly select 60 Districts/SSUs (120 divided by 2) in the first stage of sampling. Thus, our teams will now travel to 60 different districts to conduct interviews, rather than 120, resulting in an appreciable cost savings.

We would then create a sample frame of Districts for each rural stratum (i.e., the rural population of each province) in our sample, enumerated according to its rural population. We then use PPPS to randomly select the required number of SSUs from each list. For example, if Province A has 10% of the total rural population, its sample allocation will be 12 PSUs (120 x 10 percent), which means we select 6 Districts/SSUs (12 divided by 2) in the province.

#### 5.5.1.2 STAGE TWO: Selection of Primary Sampling Units (PSUs) in Rural Areas

To repeat, primary sampling units (PSUs) are the smallest, well-defined geographic units for which reliable population data are available. In Stage Two, we randomly select two rural PSUs/EAs **from within each selected SSU**. There are two ways to do this, depending on whether or not we have accurate information on the actual population of each PSU. If so, then we create a sample frame for each selected SSU, with all of the PSUs in it enumerated according to their **rural** populations. We then randomly select two PSUs from this list, again using the PPPS method.

If, on the other hand, we do not have EA-level population information, but the EAs created by the national census bureau are of equal or roughly equal population size, then we just need to number all of the PSUs in the SSU, and select two using a table of random numbers. This procedure, known as simple random sampling (SRS), will ensure that each EA will have an equal probability of being sampled.

Once the rural EAs have been randomly selected, they should be plotted on a national map. Use this map to plan out the deployment routes for the various field teams. The entire sample of 150 PSUs (or 300 PSUs) should be plotted on an administrative map of the country. The intention is to be able to show, at a glance, the spread and coverage of the sample to the whole country. In Round 6, we propose to plot the selected sample together with the population density on the same map to help show how well the sample matches the country's population distribution. Preferably, this map should be constructed with the help of the census or cartography office. This map will be very useful during the release of results, and should be made with that purpose in mind. The challenge in R5 was that the PSU plot did not quickly show why some areas were selected into the sample, and why others areas were not selected. The inclusion of the population density plot, together with selected PSUs on the same map will help show quickly the PPPS relation in the selected sample.

The NI should also ensure that the list of selected EAs includes identifying information that can be used by teams to locate the selected EA. In most cases, EAs are identified by use of official codes provided by the census office. Experience has shown that in cases where the EA is identified with a code (and not a name that the local community in the EA can identify with), it is important to obtain additional information from the census office which the team can use in consultation with the community in attempts to locate the selected EA. This additional information, which is also normally included on the map, includes physical features such as names of schools, health centres, shopping centres or household names. Physical identifiers, as far as possible, should be included for each selected EA in the list of the sample.

In some cases, a few EAs may be so inaccessible or so dangerous that **substitution** becomes necessary. As long as rural PSU substitutions never constitute more than 5 percent of all rural PSUs, it is acceptable to make them. The best method is to randomly draw another EA in the same stratum in the hope that it will fall in a more convenient location. Please record which EAs are substitutes and justify why they were substituted in the Sampling Report. If more than 5 percent of PSUs require substitution, then the NI should discard the entire Stage 1 rural sample and draw a new one.

When making substitutions, preferably done in the NI's office or by the census office, it is important to ensure that all in-coming EAs should share the same characteristics as the out-going EAs, except for the reasons that warrant the substitution. This means that EAs in urban areas should be replaced with Urban EAs, and that EAs in stratum A (such as Province/Region 1) should only be replaced with EAs from stratum A.

Note that it may occasionally be necessary to substitute EAs once teams are already in the field. Acceptable reasons for such a substitution include: insecurity, insurmountable opposition or interference from local authorities that makes it impossible to conduct fieldwork in the EA, disease outbreak, lack of accessibility due to absence or collapse of transport infrastructure (e.g., when a team in the field finds that there is no way to reach the designated EA, due for example to a flood that closes a road or a bridge that has been washed out). Such substitutions should of course be kept to a bare minimum, and **should only be made in consultation with the NI**. The NI should help to select an alternate EA in area based on the same principles described above. These substitutions should also be explained in the Sampling Report. Note that lack of public transport to a location, or difficulty or delays that would arise from relying on public transport to reach an EA, are **not** considered sufficient grounds for substitution. Provisions should be made for hiring an adequate vehicle to reach any location that cannot be readily accessed via public transport.

### 5.5.1.3 STAGE THREE: Selecting Sampling Start Points (SSPs) in Rural (and Urban) Areas

Within each PSU/EA, Field Teams travel to a randomly selected **sampling start point** (SSP). Thus the number of start points is the same as the number of PSUs (150 or 300). A SSP is required so that Field Supervisors (FSs) know where their Fieldworkers should start to interview within each PSU (see next section).

Either in the office or in the field, the FS selects the SSP using one of the following three methods. Note that in some countries, the information available for each EA may vary across the country. For example, household lists and maps (or even aerial photographs) may be available for some EAs but not for others. Teams should always use *the best available method* for each EA, even if this means that multiple methods are used within a single country. The method or methods used in each country should be explained in the Sampling Report, which should clearly spell out how Sampling Start Points were determined. In particular, the report should explain the field-selection of the actual point from which household count was initiated if household lists were not available.

#### *5.5.1.3.1 The ideal method (with household lists)*

If possible, the FS should obtain a list of *all* households in each selected EA. Such lists may be available from the national census bureau, or the offices of district administrators or local government authorities. Household lists actually eliminate the need to select an SSP. Rather, once a list is obtained, the Field Supervisor should use a random numbers table to choose eight households, and send Fieldworkers directly to these households. A detailed map showing all households in the EA and matching them with the listed names is necessary to use this method. Note that if this method is used, it is not necessary to separately apply Stage Four: Selecting Households. Go straight to Stage Five: Selecting Individual Respondents.

#### *5.5.1.3.2 First alternative method (where maps are available for the PSU)*

If the census bureau has provided physical maps of each EA, but not household maps and lists, the FS can randomly select a start point using a grid. The FS places a ruler with numbers along the top of the map and a ruler with numbers along the side of the map (or a grid can be created on transparent paper that can be laid over the map). S/he then uses a table of random numbers (or a set of numbered cards) to select pairs of numbers, one for the top axis and one for the side axis, resulting in a random combination (e.g. “9 and 6.”) (note that each X-Y pair of numbers from the random number table is used only once). A line is then drawn on the map horizontal to the number chosen on the side, and another line is drawn vertical to the number chosen on the top. The point on the map where these two lines intersect is the sampling start point. The SSP is marked on the map, and the map is given to the field team for that area. The fieldwork team then travels as near as they can to the SSP, or to the housing settlement that is nearest to the SSP. In rural areas, finding the SSP may require the field team to consult with local residents.

Because we never know in advance the actual condition on the ground in all the PSUs, it is recommended that the FS always choose a second SSP as a reserve or substitute in case the initial SSP is inappropriate or inaccessible. The second SSP can also be used as an additional starting point if, for example, there are not enough viable walking patterns (or directions) from the initial SSP to accommodate all four team members (see Section 5.5.1.4, below).

#### *5.5.1.3.3 Another alternative (where maps are not available)*

When maps are not available for the selected PSU, the following procedure should be used. The FS contacts a local government councilor or another official knowledgeable about the area and then sketches out on a piece of paper a basic schematic map of the EA that shows the rough location of housing settlements (e.g. villages), rivers, roads, churches, public facilities like meeting halls, or any other significant landmarks, as well as the outer boundaries of the PSU. The FS then performs the “alternative method” (described above in Section 5.5.1.3.2), and selects a SSP from the map.

It is important to note that the EA map (whether obtained from the census office or sketched while in the field) should be good enough to enable the field team to accomplish these two tasks. The map should clearly show the boundary of the selected EA, so that the team can restrict sampling only

within the selected EA. Ideally the map should also highlight the household settlement pattern and approximate number of households across the selected EA, so that the FS can be certain which part of the EA is inhabited, and plan team deployment accordingly.

#### 5.5.1.4 STAGE FOUR: Selecting Households in Rural (and Urban) Areas

Having arrived at the sampling start point, the Team is ready to select households. In a team of four, each Fieldworker should conduct two interviews per EA (4 Fieldworkers x 2 interviews = 8 interviews, the quota for the EA). Or, as suggested in 5.4, if 4 interviews are conducted in each EA, then each fieldworker should conduct only 1 interview per PSU.

For the purposes of the Afrobarometer, a **household** is defined as a group of people who presently eat together from the same pot. By this definition, a household does not include persons who are currently living elsewhere for purposes of studies or work. Nor does a household include domestic workers or temporary visitors (even if they eat from the same pot or slept there on the previous night). And, in practice, we want to select our Respondent from among persons in the household who will be available for interview on that same day.

In multi-household dwelling structures (like blocks of flats, compounds with multiple spouses, or backyard dwellings for renters, relatives, or household workers), each household is treated as a separate sampling unit. Likewise, we note that in some communities a single compound or homestead may contain multiple households if different groups within the homestead eat out of different pots. NIs should discuss with Interviewers and Field Supervisors how to handle particular settlement patterns that exist within their country. If there are any questions about how to handle household selection in communities with unique settlement patterns, please consult with your Core Partner and the Network's sampling specialists.

The method for selecting households is as follows:

##### *5.5.1.4.1 In well-populated areas, with single-dwelling units*

Starting as near as possible to the SSP, the FS should choose any random point (like a street corner, a school, or a water source) being careful to randomly rotate the choice of such landmarks. From this point, the four Fieldworkers follow this **Walk Pattern**: Fieldworker 1 walks towards the sun, Fieldworker 2 away from the sun, Fieldworker 3 at right angles to Fieldworker 1, Fieldworker 4 in the opposite direction from Fieldworker 3.

Note that in following their walk patterns, Fieldworkers may follow paths as well as roads. Nonetheless, Field Teams will sometimes find that there it is not easy to send Interviewers in four separate directions from a single SSP, for example if the start point is along a single road without junctions or paths leading into neighborhoods on either side. In these cases, one or more Interviewers should start from a separate location, usually the back-up SSP. Alternatively, some team members may be dropped further out along the same road, provided a sufficient interval is left between the two starting points to ensure that Fieldworker walk patterns will not overlap.

When interviews are to be conducted during the night by the whole team (excluding call backs), the team should use the moon or some other random landmark to begin the walk pattern (Field Supervisors should just make sure that interviewees disperse in directions opposite to each other).

Each Fieldworker should use a 5 / 10 interval pattern (i.e., an interval of 5 households for the first interview, followed by an interval of 10 households for the second interview) to determine which households to select. That is, walking in their designated direction away from the SSP, they will select the fifth household for their first interview, counting houses on both the right and the left (and

starting with those on the right if they are opposite each other). Once they leave their first interview, they will continue on in the same direction, and select the tenth household (i.e., counting off an *interval* of ten more households), again counting houses on both the right and the left. Thus, the first selected household is located 5 households from the start point, while the second selected household is located 15 households from the start point. If the settlement comes to an end and there are no more houses, the Fieldworker should turn at right angles to the right and keep walking, continuing to count until finding the tenth dwelling.

#### 5.5.1.4.2 *In well-populated areas, with multiple-dwelling units*

If the start point is a block of flats, or if the walk pattern includes a block of flats, then the Fieldworker should start on the top floor and work his/her way downwards, stopping at the fifth (for first interview) or counting off 10 flats (for second interview) flat, counting flats on both the right and the left.

#### 5.5.1.4.3 *In sparsely populated rural areas, with small villages or single-dwelling farms:*

In such areas, there may be only a few households around a given start point. We do not wish to over-cluster the sample by conducting too many (e.g., all 8) interviews in one small village. In these cases, the following guidelines shall apply:

If there are 20 or fewer households within walking distance of the start point, the FS shall drop only one Fieldworker there. The Fieldworker should conduct an interview at the fifth household from where they have been dropped off, and then count ten more to the 15th. If necessary, the FS should help the Fieldworker to identify the correct households before s/he departs with the rest of the team to other settlements.

If there are 21-40 households within walking distance of the start point, two Fieldworkers can be dropped there. They should start in the center of the settlement, and move in opposite directions, again counting intervals of five (to the first interview) and 10 (for the second) households. Again, before leaving the village, the FS must ensure that the Fieldworkers know precisely which houses they should contact.

If only one or two Fieldworkers can be dropped at the start point, the rest of the team should drive to the nearest housing settlement *within the same EA and closest to the SSP*, where the next one, two or three Fieldworkers shall be dropped according to the same rule. And so on.

If there are more than 60 households, the whole team can be dropped and interviewing proceeds as usual (as described in 5.5.1.4.1).

#### 5.5.1.4.4 *In sparsely populated areas, with commercial farms:*

In countries where commercial farms are large and contain populous settlements of farm workers, effort should be made to avoid collecting all eight interviews for that EA on one farm. To do this, the Field Supervisor should drop two Fieldworkers at the first farm (either the first randomly chosen from a comprehensive list of farms within the EA, or the first nearest the randomly selected start point), and then drop the remaining two Fieldworkers at the next farm. Once the first two are finished, they are moved to another farm for two more interviews, and the same with the second pair, so that eight interviews are obtained from four separate farms in each EA. *It is important that all selected farms are within the selected EA.* Households should be chosen from lists of households on the farm, or by using a standard walk pattern. Remember to include both the farm owner's and farm workers' dwellings on the lists or on the walk pattern. Once the teams' eight interviews are completed, the Field Supervisor should move the team on to the next selected EA and repeat the procedure. Again,

before moving on, the FS must ensure that the Fieldworkers know precisely which houses they must contact.

#### 5.5.1.5 STAGE FIVE: Selecting Individual Respondents in Rural (and Urban) Areas

Once the household is chosen, the Fieldworker is responsible for randomly **selecting the individual Respondent** within the household who will be interviewed.

**IMPORTANT:** This stage of sampling is **conducted by Fieldworkers**. Fieldworkers must be carefully trained and supervised to ensure that they follow Afrobarometer sampling instructions to the exact letter. These sampling instructions are summarized below and spelled out on the second and third pages of every questionnaire. **Field Supervisors are responsible** for ensuring that their teams of Fieldworkers understand their parts of the sampling methodology and execute them correctly.

To ensure that women are not underrepresented, the Afrobarometer sets a **gender quota** of an equal number of men and women in the overall sample. To accomplish this quota, the gender of Respondents is alternated for each interview. First, the Fieldworker determines from his or her previous interview whether a man or a woman is to be interviewed. The Fieldworker then lists (in any order) the **first names** of all the household members of that gender who are 18 years and older, even those not presently at home but who will return to the house that day. From the list (which is numbered, see p. 2 of the questionnaire), the Fieldworker randomly selects the actual person to be interviewed by asking a household member to choose a numbered card from a blind deck of cards. The Fieldworker should interview only the person whose number is selected and no one else in that household.

If the person selected **refuses** to be interviewed, the Fieldworker replaces the **household** by continuing the walking pattern and selecting the 10th dwelling along the road or path, again counting households on both the right and the left.

**Note: In the Afrobarometer, we substitute households, not respondents. Under no circumstances must the Fieldworker substitute another individual in the same household for a Respondent selected randomly by means of the numbered card method. It is not acceptable, for example, to substitute a spouse, parent, child, sibling (or domestic worker or visitor) in the same household for a selected Respondent who happens not to be at home at the time.**

If there is no one at home in the selected household on the first try, the Fieldworker should make **one call-back** later in the day. If the selected Respondent is not at home, a call-back will again be necessary. The Fieldworker should make an appointment to meet the selected individual later in the day. It is also acceptable for the Fieldworker to enquire about the whereabouts of the selected Respondent (they may perhaps be at work) and, if nearby, to walk to that place to conduct the interview.

If the call-back is unsuccessful, say because the Respondent has still not returned home for the appointment, then, and only then, the Fieldworker may substitute the household. If the house is still empty or the selected Respondent is not at home at the time of the call-back, the Fieldworker must substitute that household with the **very next** household found in the direction of the walk pattern. This slight change in the walk pattern is necessary under these circumstances since the Fieldworker may already have had a successful call earlier in the day in the household that is located at the sampling interval.

#### **5.5.2 Sampling Urban Respondents**

Because urban interviewing sites are usually fairly close to one another, introducing SSUs in urban areas would achieve no real reduction in travel costs. To sample urban Respondents, we therefore

skip the first stage of selecting SSUs described above, and proceed directly to selecting primary sampling units. Thus, in urban areas:

In the first stage, we randomly select urban *primary sampling units* (PSUs).

In the second stage, we randomly select *sampling start-points* (SSPs) within the selected PSUs.

In the third stage, we randomly select *households* within each PSU.

And in the fourth and final stage, we randomly select individual *Respondents* from within the selected households.

We shall deal with each of these stages in turn.

#### 5.5.2.1 STAGE ONE: Selection of Primary Sampling Units (PSUs) in Urban Areas

In order to select the actual PSUs/EAs in which we will conduct our urban interviews, the NI or sampling specialist will compile a sampling frame of all PSUs/EAs in each urban stratum. We then consult the sample design to determine the total number of urban PSUs to select from each stratum.

To select the individual PSUs, we use one of the two methods described above in Section 5.5.1.2. That is, if we have accurate information on the actual population of each PSU, then the sample frame will be enumerated according to the urban voting age population of each, after which PSUs will be randomly selected using PPS (Appendix 5). Any PSU/EA with little or no urban population should have 0 probability of selection.

If, on the other hand, we do not have EA-level population information, but the EAs created by the national census bureau are of equal or roughly equal population size, then we just need to number all of the PSUs in the strata, and select the desired number using a table of random numbers.

As with rural sampling, selected EAs should be plotted on a national map, and any candidates for **substitution**, due, for example, to insecurity, should be identified. Urban substitutions should never constitute more than 5 percent of all urban PSUs. Again, the best method is to randomly draw another EA in the same strata in the hope that it will fall in a more convenient location. Please record which EAs are substitutes and justify why they were substituted in the Sampling Report. If more than 5 percent of urban PSUs require substitution, then the NI should discard the entire Stage 1 urban sample and draw a new one.

##### *5.5.2.1.1 Additional Stratum (Optional)*

In urban areas that have extremely diverse housing patterns, the NI may choose to add an additional layer of stratification to increase the likelihood that the sample does not leave out **high-density (especially informal) settlements**. Using a street map, a city or town can be divided into high-medium- and low-density areas. It can then be required that PSUs are represented equally (or better yet, in proportion to population sizes, if these are known) within the sample for that city or town.

#### 5.5.2.2 STAGE TWO: Selecting Sampling Start Points (SSPs)

The procedures for selecting Sampling Start Points are the same in both rural and urban areas, so this is exactly the same as Stage Three in rural areas. See Section 5.5.1.3 above.

### 5.5.2.3 STAGE THREE: Selecting Households in Urban Areas

The procedures for selecting households are largely the same in both rural and urban areas, so see the discussion of Stage Four sampling in rural areas above (Section 5.5.1.4). Most urban areas will fit the housing patterns described in Sections 5.5.1.4.1 and 5.5.1.4.2.

### 5.5.2.4. STAGE FOUR: Selecting Individual Respondents

This is exactly the same as Stage Five of rural sampling. See Section 5.5.1.5 above.

## **5.6 Reducing Household Substitutions**

We urge NIs to use good forward planning to minimize the need for substitutions at all stages of sampling, whether for Primary Sampling Units (PSUs) or, most importantly, for households. This section offers some suggestions for achieving this.

Many household substitutions seem to occur because of the timing of the interviews. Our data show that most interviews take place between 8:00 am and 6:00 pm. We can minimize substitutions through the following means:

- i. Plan around the working timetables of rural or urban communities. This means, for example, scheduling interviews to take place towards the end of the day in some areas.
- ii. In urban areas, gender quotas are often difficult to meet because a lot of men are at work, especially when interviews are conducted during the week. We therefore advise that interviews in urban areas be scheduled to include weekends. When planning deployments in urban areas, ensure that at least one day of interviews falls on a weekend.
- iii. If a minority language group is in the sample, NIs need to plan ahead to ensure that field teams have the right translations of the questionnaire. This means drawing the sample well before the other fieldwork activities.

**Note: It is crucial that Fieldworkers clearly record in the table on the questionnaire each household visited, and the reason for substitution.**

## **5.7 Sampling Back-Check**

Before leaving the PSU/EA, the FS should randomly select one of the eight households in which an actual interview was conducted. The FS should first make sure that the sampling interval along the walk route was correctly followed. They should then locate the person who was interviewed and ensure they were of the correct gender and were actually the Respondent selected by the Respondent selection procedure. Finally, they should also check basic information like their age and level of formal education.

## **5.8 Sampling Reports**

Each National Partner must submit a Sampling Report to the Core Partner that includes all of the following information:

- 1) Source of sampling frame, including whether it has been updated (i.e., use of population projections), and if so, by who

- 2) Name, title and affiliation of those drawing the sample
- 3) Total national population
- 4) Basis of stratification
- 5) Official definition of “urban” and any other relevant designations (e.g., semi-urban or other strata) used in the sample frame
- 6) Population of each stratum
- 7) Initial sample allocation (PSUs per stratum)
- 8) Basis for oversampling (if any)
- 9) Adjusted sample allocation (for oversampling, if any)
- 10) Table of administrative divisions, including name and total number of each, for selecting SSUs (those included in the census frame only)
- 11) Sample of selected SSUs in each rural stratum, with population of each
- 12) Sample of selected PSUs in each rural stratum, with population of each
- 13) List of rural PSU substitutions, with justification for each (and including population of each replacement PSU)
- 14) Sample of selected PSUs in each urban stratum, with population of each
- 15) List of urban PSU substitutions, with justification for each (and including population of each replacement PSU)
- 16) A (small) map showing the approximate location of each PSU plotted together with the country’s population-density on the same map
- 17) An explanation of what method(s) was used to select Sampling Start Points (SSPs) in each EA based on what information was available to Field Teams (e.g., household lists and maps, official EA maps, or no official maps)
- 18) Notes on any other issues that arise during sampling.

## Section 6: Fieldwork Training and Supervision

**NOTE: The Interviewer Training Workshop is perhaps the single most important event in the Afrobarometer survey cycle, because it offers the best opportunity to establish consistent standards for data collection.**

This section lays out the arrangements for training Fieldworkers and Supervisors for Afrobarometer surveys. It also specifies the role of the Fieldwork Supervisors and Fieldworkers. Up to 35 surveys will be conducted in Africa in this sixth round of surveys, and all the countries will be using the same instrument (questionnaire). It is therefore ESSENTIAL that all countries strive to maintain the same standards in data collection. This Section will help to ensure that Fieldworkers are trained to the same standards to minimize variation that may occur during the data collection exercise.

While training focuses on thoroughly familiarizing Fieldworkers with the questionnaire, it also seeks to do much more. It asks Fieldworkers to acquire a range of skills such as speaking, listening, reading, writing, asserting themselves and establishing interpersonal rapport. Fieldworkers need to understand research ethics and how to create an atmosphere in the interview process that allows Respondents to feel comfortable in answering sensitive questions. A good part of establishing rapport is teaching Fieldworkers how to emphasize the confidentiality of the interview and how to obtain the Respondent's informed consent to participate in the study (see Appendix 6 on informed consent).

By the end of their Training Workshop, Fieldworkers should know about the purpose of the project and what their role will be in implementing the sample and the questionnaire. All Fieldworkers should be thoroughly familiar with the questionnaire, and should have completed at least four practice interviews before they leave for the field, including at least one mock interview in the national language, and at least one mock interview in each of the local languages they will use in the field.

Another goal of Fieldworker and Supervisor training is pre-testing and final refinement of the questionnaire, especially the local language translations. The Fieldworkers practice interviews will serve as pre-tests of all of the local language versions of the questionnaire. Each local language translation should be tested on at least 4 different Respondents during the course of Interviewer Training and field practice. In addition, all members of the Country Team (e.g., including the National Investigator, NI, Data Manager, etc.) should administer at least one questionnaire each during the practice/pre-test phase. The debriefing sessions on day 6 can capture final feedback on the translations.

It is the **responsibility of NIs (and any Co-NI's) to train the Fieldworkers**. In most countries, Core Partners will send a representative to the training workshop to observe, provide technical assistance and other support, and to bring the cross-country perspective into the training.

### 6.1 Fieldworker Training Workshop

Experience from previous rounds has taught us that a well-trained team yields good quality results. To achieve this, we have formulated a program for the Training Workshop that will go a long way in ensuring that Fieldworkers (Interviewers and Field Supervisors) in all countries operate to the same standard.

Before convening the training workshop, the following items must be in place in sufficient time.

1. The sample survey locations drawn

2. Field maps for main survey and pretest obtained and locations marked
3. Numbered cards for Respondent selection
4. Field team routes planned
5. Questionnaire has been indigenized and approved by the CP
6. Local language translations nearly finalized
7. Training materials such as flip charts, pens, pencils, etc., procured
8. Training copies of questionnaire, Interviewer Training Guide, Supervisor Guide made.
9. Identification cards for Fieldworkers and Field Supervisors
10. Letters of introduction from the National Partner organization
11. Funds in bank. NOTE: TRAINING SHOULD NOT BE SCHEDULED UNTIL FUNDS FOR FIELDWORK HAVE ARRIVED.

Other Considerations:

- Although Interviewers are not paid a daily rate during training, their meals (and, if necessary, transport and accommodation costs) should be covered within the available budget.
- It is **ABSOLUTELY** necessary that everyone involved in the survey should attend the training workshop. This includes data entry clerks (where applicable), data editors, the NI and the entire survey management team, in addition to the Fieldworkers and Field Supervisors who are being trained.
- Recruit more Fieldworkers than you need to use in the field to create a pool of substitutes when needed.
- The Afrobarometer protocol requires holding a single national Training Workshop at **one central location**. In geographically large countries (e.g., Mozambique, South Africa and Nigeria), however, it may be necessary to decentralize training for budgetary or logistical reasons. We strongly advise against having more than three separate Training Workshops, and we insist that the training task is NOT devolved to Field Supervisors. To repeat, we require high quality and consistency in training. Either the NI, a co-NI, or a technical assistant from a Core Partner **MUST** therefore be present to oversee ALL of the training sessions.

The proposed schedule for the Training Workshop is as follows:

**Day 1**

**a. Background / Introduction** to the Afrobarometer project

A summary of:

- (a) Sections 1 and 2 of this Manual
- (b) Overview of Afrobarometer research methods
- (c) Discussion of Research Ethics and Informed Consent, and signing by all of the Research Ethics Agreement (Appendix 6).
- (d) Selected key findings from previous rounds. For example, on the basis of experience gained in administering the questionnaire during Rounds 1 through 5, we have learned that:
  - Interviewers must develop a thorough familiarity with the contents of the questionnaire *before* going to the field, even if this means lengthening the time of training.
  - Interviewers must be trained to control the pace of the interview by politely but firmly cutting the Respondent short if he or she repeatedly wishes to provide discursive answers.
  - The Part 1 geographic data (region, urban and rural, town and village) should be recorded completely and accurately as a team to ensure consistency across all 8 questionnaires captured in a single EA; these details form a vital part of controlling the sample.
  - In Round 6, one of the goals will be to eliminate missing data. The amount of missing data in some countries was still high in Round 5. Either questions were skipped, codes

were never entered, or Interviewers took the easy way out and opted inappropriately for “not applicable” or some other null response. Missing data has profound, cumulative effects on data analysis, reducing our capacity to build reliable multivariate explanatory models. For Round 6, we must improve the level of QUALITY CONTROL in data collection, field supervision, and data entry.

**b. Familiarization with the questionnaire in the National Language**

The NI should go through each and every instruction, question and response category on the National Language version of the questionnaire. S/he explains the various types of questions and response categories (open-ended, closed-ended, forced choice). Fieldworkers act as Respondents and they all practice coding the responses. Ample time is allowed for questions and discussion.

**c. Interviewers break into pairs and practice with the National Language questionnaire.**

**Day 2**

**a. Familiarization with the questionnaire in the local languages**

Break into language groups. Each group selects a leader who will take the group through the review of the local language translation. The translator should also be present, so that any Interviewer concerns about the translation can be discussed, and refinements introduced if necessary. The team leader reads each question while team members take turns as Respondents. The group will categorize and code responses.

If a significant number of Interviewers will be certified by the NI to conduct interviews in more than one local language, then it will be necessary to make provisions (in terms of time and number of sessions allocated for this task) for Interviewers to familiarize and practice with more than one local language questionnaire.

This is an equally important exercise as 1b above since most interviews are conducted in local languages. So for those countries with many languages to work on, it is essential to schedule enough time for this activity so that *each interviewer has a chance to do familiarize herself with every language translation that she may use in the field*. It is the role of the NI to ensure that all areas of concerns with regards to the translations are also addressed at this moment with input from the Trainees.

**b. In-house practice with interviews in the local languages.**

After going through the local language as a group, participants break into pairs, alternating the roles of Fieldworker and Respondent. The Fieldworkers learn how to ask the question in a *local* language and to record the answers on the *national* language version. It's quite critical to have the responses recorded on the national language version of the questionnaire, so that both the NI (who may not know all local languages) and other in the Network such as the AB Data management team will be in a position to review and revise the questionnaire without having to ask for an interpretation of a national language.

**c. A debriefing session.**

Everyone reconvenes to give feedback on the translated questionnaires.

**Day 3**

**a. Interviewer's role in sampling** (see Section 5).

To ensure that the survey is as representative as possible, the Field Interviewer plays an important role in the selection of households and respondents. Hence, as part of the training session, both the Field Interviewers and Field Supervisors must have a clear understanding of the sampling design. Training on this therefore focuses on:

Sample design overview

The importance of strict adherence to sampling protocols  
Selecting starting points  
Household selection  
Respondent Selection  
How to minimize substitutions  
(maps and cards for respondent selection are required for this session)

b. **Continue** with practice of questionnaire administration in pairs.

#### **Day 4-5**

##### **Field Practice:**

Nothing can substitute for actual field practice in terms of training high quality Fieldworkers. This is an absolutely critical phase of the training process. During field practice, Field Teams disperse into areas near the training venue to test the sampling methodology, and conduct practice interviews (while also pre-testing the questionnaire).

- Select a set of PSUs that are not included in the actual sample that has been drawn, where field practice/survey pre-test will be conducted. The PSUs selected for practice should present realistic conditions that are as close to those that will actually be encountered in the field as possible.
- Divide Fieldworkers into actual survey teams (1 Field Supervisor and 4 Fieldworkers).
- Allocate PSUs to be done by each Field Team.
- Deploy teams to the field.
- Each Fieldworker should complete at least four interviews, thus simulating the conditions that they will actually face in the field. Each Fieldworker must complete a *minimum* of one practice interview in each of the languages in which they are certified to conduct interviews by the NI. During field practice, Field Supervisors should also conduct at least two interviews.
- The purpose of these interviews is not to gather data for the survey, but to familiarize the Interviewer with realistic field conditions. In addition to seeing how well the questionnaire works, they should test the sampling methodology for SSPs, households, and Respondents. They should try to conduct four to five interviews in the course of a day. **At least one complete practice interview per Interviewer should be observed by a member of the NI team or training facilitators.** This means that field practice may take more than one day in order for the NI or other members of the senior management/ training team to be able to monitor every single Fieldworker in at least one interview.
- The NI and senior management/training team should take detailed notes to document observations in the field, which should be compiled for the debriefing session the next day.
- The NI and senior management/training team should review the practice questionnaires at the end of the day in preparation for the debriefing session.

#### **Day 6**

##### **a. Debriefing session and evaluation of training**

In a plenary session, Fieldworkers raise questions that arose during their first field experience. The NI provides definitive responses that all Fieldworkers hear and are asked to apply. Either the NI or other members of the senior management/training team should meet with each

Fieldworker to review the practice questionnaires that they filled in, identifying any problems that need to be corrected. Trainees whose work is of poor quality should be eliminated from the Fieldworker pool at this point. This is also the time to identify final candidates for Field Supervisor positions.

**b. Questionnaire fine tuning**

Also during the debriefing, Interviewers and Country Team members can provide final feedback on the pre-test (during practice interviews) of the questionnaire. Translators should be present at this session to assist with fine-tuning of each local language translation to ensure that they communicate accurately and clearly, bearing in mind that the wording of the master questionnaire and the principles of sampling should not be compromised. Once corrections are made, then the questionnaires should immediately go for printing so that they are ready for field deployment within one to two days. After printing, questionnaires should be spot-checked to ensure that no pages, instructions, or questions are missing.

**c. Final team selection**

Other outputs of the debriefing session include:

1. Final selection of Fieldworkers
2. Confirm Field Supervisors
3. Confirm Field Team compositions. This process should be advised by each Interviewer's proficiency in the local languages of the sampled EAs, as well as performance in pre testing, and general participation and interest in the Project.
4. Finalize revisions to be made to the local language questionnaires and print copies for the field.

## **6.2 Field Supervisor Training**

In some cases, NIs will know who they want to hire as Field Supervisors (FSs) prior to Fieldworker training, usually because they already have experience working with these individuals. In these cases, FSs can be trained in advance of the Fieldworkers, and FSs can then assist in the Fieldworker training. However, if the NI does not already have prior experience with a group of FSs, then it is strongly recommended that the FSs be selected from the full group of trainees at the end of the Fieldworker Training Workshop. In this case, the additional training that these individuals will need to act as FSs should take place on **Day 7**, immediately following the end of the main training workshop.

### ***Day 7: Field Supervisor Training***

Supervisor training should include the following topics:

- 1) Sampling responsibilities of FSs and Fieldworkers
- 2) Map reading to easily identify the sampled areas
- 3) Quality control mechanisms (see Sections 6.4 and 6.5 below)
- 4) Daily debriefings
- 5) Compilation of technical notes
- 6) Collecting local information and ensuring that there is consistency across all returns from a single EA on the information on the first page of the questionnaire
- 7) Safe keeping of completed returns
- 8) Financial reconciliation and team payments

## **6.3 Team deployment**

Team deployment should begin within 48 hours after the completion of Interviewer training, when the lessons of the training are still fresh in everyone's minds, i.e., by **Day 8 or 9**. Transportation should be organized together with the drivers, Field Teams issued with their route maps, field kits

(questionnaires and supplies, maps, route plan and schedule, ID badges and letters of introduction, a table of random numbers and two rulers or a transparent grid (in case sample start point need to be selected in the field due e.g., to EA substitution), etc.). In some cases, the National Partner should assist the field teams with booking accommodation in advance in cases where accommodation can be easily located close to the sampled EAs. This helps reduce the time needed to look and secure accommodation once teams are in the field. See details on planning fieldwork deployment in Section 3.7.

## 6.4 Fieldwork Supervision

(Note: This part of the Manual can be extracted as part of a Field Supervisor’s Manual that NIs make for their own teams.)

The main function of Fieldwork Supervisors (FSs) is to ensure **quality control in data collection**. As the job title suggests, the FS achieves quality control by closely supervising every aspect of the performance of Fieldworkers. Afrobarometer surveys meet this objective by maintaining a low ratio of Supervisors to Fieldworkers (ideally 1:4; NIs should obtain approval from Core Partners if they expect to have a different supervision ratio). In addition, each FS is the **leader of a Field Team** and, as such, is responsible for the safety and well-being of the Team, as well as their morale and motivation. S/he travels with the team to every field location, however remote, to which they have been assigned. Because the FS is responsible for correctly filling the sample, s/he determines the daily deployment of the Team in the field and is in charge of any vehicle and driver provided for this purpose. The FS also handles the money for the Field Team’s travel, accommodation and meals and provides financial reports supported by receipts.

Finally, Field Supervisors are also responsible for the **safekeeping of completed returns** (e.g. by packing them in cardboard boxes) and for delivering these in good condition to the NI. If, for reasons we cannot avoid, the survey is conducted in the rainy season, the FS should make sure that returns are protected from water damage.

The **sampling responsibilities** of Field Supervisors include:

- (a) PSU Selection: FSs can assist the NI in planning field logistics and (if necessary) substituting PSUs in the first (for urban areas) or second (for rural areas) stage of sampling. If well selected, FSs often have local knowledge that is useful in these tasks.
- (b) Selection of Sampling Start Points: NIs must make sure that FSs have mastered this skill since they will be doing it on their own in the field. Alternatively, NIs may decide to have FSs pre-select SSPs in the office before they leave for the field so that the randomness of this stage of sampling can be monitored.
- (c) Household and Respondent Selection: FSs must ensure that Fieldworkers understand the principle of randomness and correctly implement the household and respondent stages of the sample selection. To ensure adherence to this protocol, the FS should randomly check their Interviewers’ selection of households from the sampling start point and ensure that each Interviewer applies the 5/10 household selection interval procedure as stipulated in the household sampling procedure.

The FSs continue to train Fieldworkers via hands-on supervision after deployment to the field. Starting with the weakest Fieldworker, Supervisors **accompany** all Fieldworkers on their rounds in the early days of fieldwork, personally making sure that every Fieldworker knows how to implement the sample and the questionnaire correctly. The FS should observe interviews in progress with each of

the Fieldworkers, especially at the start of fieldwork. The FS should continue to closely monitor the team until completely confident that all members are working well on their own.

Even then, **back-checks** are needed to monitor the quality of data collection. For every Interviewer, but especially for those needing the most help, FSs should make random back-checks. At least one out of eight interviews must be back-checked, that is, at least one per PSU/EA. A back-check involves the FS going to the household where the interview was conducted to confirm (a) the walk pattern and household selection procedure; (b) the correct application of the respondent selection procedure; (c) that questions have been asked correctly; and (d) that answers are recorded accurately. The last part involves the FS re-asking the Respondent a selection of questions from different parts of the questionnaire to make sure that the answers are the same as those recorded by the Interviewer.

The FS is authorized to suspend from the team any Interviewer caught falsifying data. The NI, in consultation with the FS, will then determine if that person will be dismissed from the team and the project.

At the beginning of each day in the field, FSs distribute blank questionnaires to Interviewers. They then collect completed returns as these accumulate during the day. As soon as possible after the interview, and BEFORE DEPARTING FROM THE EA, the FS should debrief each Interviewer. The **daily debriefing involves the FS going through every return item by item to make sure that it is complete**. S/he checks especially for missing data and internal consistency on the linked questions.

If there are missing data or other inconsistencies, the FS should send the Interviewer back to **revisit the Respondent** to correct all problems before leaving the area. Based on previous experiences from National Partners, Interviewers in some countries have devised strategies to minimize missing and inconsistent information by exchanging completed questionnaires for review before submitting these to their supervisors. This normally happens after the Interviewer has completed his/her two interviews in an EA and after satisfying himself/herself about his work, will then exchange with colleagues for questionnaire checking. This strategy has proved quite helpful in reducing errors.

In addition, the FS and the Interviewers should discuss sampling and coding issues as a group as they travel around so that the teams develop consistent practices. They should also jointly fill in the information about the EA (name, location, characteristics, etc.) on the first page of the questionnaire, and ensure that all eight questionnaires from the same EA carry the same information about the EA.

Finally, the FS is responsible for making sure that Interviewers conduct themselves according to a **Code of Conduct** (e.g., come to work on time, no drinking on the job, etc.). The Afrobarometer Network does not currently have a standard Code of Conduct, but some Codes that have been used by individual National Partners have been shared to offer guidance on useful and appropriate content. National Partners are requested to submit to the Core Partners any Code they used during Round 5. The Core Partners will then combine and reconcile these documents for review and adoption at a future Workshop.

#### ***6.4.1 Supervisor's Checklist***

The following checklist is designed to help the Supervisor determine whether a return is complete. The basic guideline is that every item should be accompanied by a valid code. Note also that the FS fills in selected parts on each questionnaire and certifies its completeness and accuracy with signatures.

##### *6.4.1.1 Part 1 of the Questionnaire:*

- \* Has Respondent Number been left blank? (for office use)
- \* Has the Interviewer Number been completed (by Interviewer)?

- \* Has temporary Field Number been completed (by Supervisor)?
- \* Was the household back-checked (by Supervisor)? Circle 1 or 2.
- \* Does EVERY ITEM have a valid code, either circled or written in? The Supervisor should sign the statement: “Questionnaire checked by:” when the RETURN IS COMPLETE. The return is complete when all the items on this checklist have been covered.
- \* Is this an urban or rural area? The point of reference is the primary sampling unit (PSU)/census Enumeration Area (EA). The designation of “urban” or “rural” should be consistent with the designation of the PSU/EA on the sampling list (i.e., within an urban or rural sampling stratum). The consistency between this item and the sampling lists will later be cross-checked. Circle a 1 or a 2.
- \* Do all questionnaires from the same EA contain the *exact same* information about the EA on the front page, including the location (Region/Province, EA number, etc.), whether it is urban or rural, and other characteristics (services, transport facilities, security and roads). The FS will have had more of an opportunity than Interviewers to observe the whole area, so s/he should actively assist in ensuring that these items are completed accurately and consistently for each PSU/EA.
- \* Has the Interviewer implemented correctly the Household and Respondent Selection Procedures?

#### 6.4.1.2 Part II of the Questionnaire

- \* To repeat: The FS should go through every return to ensure that every coding box contains a valid code. A valid code is a code within the range of the response categories. At all costs we seek to **AVOID MISSING DATA**.
- \* Have all of the linked questions been completed correctly, i.e., has the ‘Not Applicable’ response always been used where it is required, but never been used where it is not required?
- \* Are all PC (Post Code) boxes left empty? These will be post-coded in the office.

#### 6.4.1.3 Part III of the Questionnaire

- \* Q118-119 require the Field Supervisor to comment on the return and certify that Afrobarometer protocols were followed.
- \* In sum, two FS signatures are required on a completed return, one on the front page and one on the last page. These certify that the questionnaire was checked for (a) completeness (no missing data) (b) accuracy of translations and (c) adherence to sampling and interview protocols. **A COMPLETED RETURN REQUIRES TWO FS SIGNATURES. THESE SIGNIFY THAT THE SUPERVISOR ACCEPTS RESPONSIBILITY FOR THE QUALITY OF THE RETURN.**
- \* Are all pages, especially top and bottom, attached to the questionnaire? The Supervisor must make sure that any pages that have become loose are stapled back onto the correct return. (Note: all FSs must be issued with staplers).

Note: We do not record the full name or address of the Respondents (we record only first names for respondent sampling). Although full personal data may provide the FS with coordinates for doing back-checks, it reduces the confidentiality promised to the Respondent. The FS should therefore use the Interviewer as a guide for finding the households that are back-checked.

#### **6.4.2 Interviews by Supervisors**

Generally, we recommend that FSs concentrate on quality control and team logistics rather than conducting interviews themselves. However, if someone in the team becomes ill, FSs can conduct some interviews themselves to fill the gap. The same applies if, for some other reason, the team is falling seriously behind schedule, in which case the FS can conduct interviews to help the team catch up. But if Supervisors do any interviews, these are best done late in the fieldwork period after the team has gained experience, rather than at the beginning when Interviewers need a lot of supervision.

### **6.4.3 Logbook**

The FS will keep a daily written log of observations on sampling and interviewing conditions and on the political and economic features of the area. They should also ensure that the information for each EA is recorded on a separate section within the Logbook (NIs should provide each FS with their own separate log book). Each daily report must be dated and the name and/or number of the EA must be specified. The contextual notes must be submitted to the NI, who will use them to compile an overall Fieldwork and Methodology Report for onward transmission to Core Partners.

## **6.5 Quality Controllers**

As discussed earlier, some Country Teams have used roving Quality Controllers who visit Field Teams in the field. It has been agreed at several Workshops that Country Teams have the option to employ this extra layer of field supervision if they wish to do so and if the necessary budget provision has been secured. This intermediate supervisory level assists the NIs in tracking and checking in with Field Teams to: a) ensure that FSs are applying high and consistent standards; b) deliver funds or supplies to the field; and c) collect early batches of completed returns for delivery to headquarters. Providing that the coordination of fieldwork is not neglected at headquarters, NIs (or Co-NIs) might elect to play this role.

In the absence of (or in addition to) Quality Controllers, Field Supervisors should be required to make a daily telephone call to headquarters to report progress, discuss problems, and receive instructions.

## **6.6 End of Fieldwork Debriefing**

After all returns have been submitted, the NI will convene a **debriefing session** with all Supervisors and Fieldworkers, other members of the Country Team, and any Core Partner representative who may be present. The purpose of this major event is to record issues arising from fieldwork. These may include problems encountered with sampling, logistics, translation, questions, or interviews. The NI should record all these problems along with the FSs' and Field Teams' suggestions for how to resolve them. Capturing this information is extremely important to the continual learning process that we try to maintain within the Afrobarometer. Recommendations from the debriefing session should be included in the NIs Fieldwork and Methodology report for the survey.

## **6.7 Fieldwork and Methodology Report**

Fieldwork and Methodology Reports are derived from experiences during training and fieldwork, and are drawn from sources such as Fieldworker Training observations, the Field Supervisor's daily logs, the Field Team debriefing, and the observations of the NI and other senior management. Specifically, these reports should include the following:

- A brief report on Fieldworker Training, including number of Fieldworkers trained, number of days and schedule, trainers present (from Core Partner and National Partner), number of

Fieldworkers passed, how Field Supervisors were selected, feedback on Pretest and Field Practice, and any problems encountered or other relevant issues.

- The report should document what kind of Field Supervision was provided by the NI or Senior Management Team (e.g., how many field visits were made, where to, and by whom).
- The report should fully document any problems encountered during training or fieldwork, especially any departures from the planned Afrobarometer protocols, including reasons why any such departures occurred. The report should also detail how the problems were addressed.
- The report should note any problems encountered with individual Fieldworkers or Field Teams, and how they were addressed.
- The report comments on the social, political and economic climate of the areas covered in the survey. For instance, it notes whether the area is experiencing food shortages or flooding or whether any protest action is underway, and if so, what the cause of the protest is (e.g., over payment of electricity fees).
- The report also documents any obstacles or disputes encountered with local authorities regarding the administration of the survey, and how they were resolved. Further, the National Partner should provide recommendations on how this can be handled in future surveys.

This information aids with future survey planning and in the interpretation of results.

## **6.8 Financial Reconciliation and Team Payment**

Assuming that all work has been completed to requisite standards, Interviewers are paid and released after the debriefing session has ended. Interviewers should sign that they have received their payments.

Before Field Supervisors end their assignment to the project, they must **report expenditures** for the fieldwork team. An example of a Field Supervisor's Expense Report is attached at Appendix 8. The FS must provide receipts for all listed expenditures and return any unspent funds. Certain un-receipted expenses for justifiable small amounts (e.g., soft drinks or cola-nuts for chiefs) may be supported by a written statement by FSs. Other, major expenses that lack receipts must be deducted from the Field Supervisor's fee. After accounts have been reconciled, FSs may be paid and released.

## Section 7: Data Entry and Management

This section of the manual presents the basic requirements of a clean dataset, the key deliverable that the Afrobarometer expects of all partners, as well as recommendations on how to prepare, capture and verify all data.

For data management, the Afrobarometer recommends the Statistical Package for the Social Sciences (SPSS), a comprehensive, user-friendly, computer-based tool. This software will be made available for each partner who needs it for Round 6. Partners will be able to download this from the Afrobarometer online sharing platform OneHub.

### 7.1 Responsibility for Data Entry and Cleaning

NI/NPs have been responsible for entering and cleaning their own datasets. For established partners involved in large-scale data collection, capture and cleaning on a regular basis, this has not been difficult. But for some new partners, and some partners who do not perform these functions on a regular basis, the process has been slow, leading to delays in the production of clean datasets.

Given the much tighter timetable for Round 6, a key goal for this round will be to further improve the efficiency of the data entry and cleaning process so that datasets can be finalized more quickly. Partners should assess their needs in these areas and inform the Network as soon as possible, so that the Data Manager can organize the provision of technical assistance. If possible, we will also conduct data management workshops for data managers shortly before the data entry phase in their countries.

Core Partner Data Managers are to be the first to review datasets and compile comments. The Network Data Manager will then review them.

### 7.2 Deliverables: The Basic Requirements of a Clean Dataset

NIs/NPs are responsible for delivering to the Core Partner a **clean dataset** that meets all of the following criteria:

- The final dataset is presented in the prescribed data entry template. Francophone countries will submit both French and English versions of the dataset
- All values are in the correct row and correct column
- All open-ended or “other (specify)” verbatim responses are included in the dataset. These can be in English, Portuguese, French or Swahili (Francophone countries should leave verbatims in French in the English versions of their datasets)
- Missing values are kept to an absolute minimum, and are correctly coded and labeled with  
-1 = missing data
- No variables contain any out-of-range values
- There is no “system missing” (“.” in SPSS) data
- For each variable, all values are labeled correctly
- The data is **internally consistent**, so that all “linked” questions are properly cleaned (see Section 4.6.2)
- A random sample of at least 25% of all questionnaires has been double-entered by the National Partner
- Double entry of a random sample of at least 25 questionnaires yields a data entry error rate of less than 1% of all entries (a quality check to be done by Core Partner or Network Data

Manager). If the error rate is in excess of 1%, the National Partner should double enter an additional random 25% of questionnaires, after which the dataset will be re-tested, until the 1% maximum error rate is achieved. (Please note that double entry by NP of data for quality control and improvement is a normal part of the process of producing a clean dataset; costs for this activity will be borne by NPs, and should be factored into the data management budget. Costs of double entry by CP or Network Data Manager for quality control checks will be covered by the Network.)

In addition, once a dataset is clean, the Network Data Manager will provide the NIs/NPs with raw output tables, which the NIs/NPs must turn into a *Summary of Results*. This document includes:

- A summary of Survey Technical Information (see Appendix 12), including details on any weighting factor included in the dataset
- A table summarizing the key demographics characteristics of the sample, both unweighted and weighted
- A table for each question in Part 2 of the questionnaire containing the **core attitudinal and demographic questions** (i.e., Q1-100) that includes:
  - The full question text
  - The weighted topline frequency distribution for each question, as well as a breakdown according to at least two relevant demographic categories (minimum requirement is a breakdown according to gender and urban-rural location)

### 7.3 Data Entry Template

Because the Afrobarometer makes comparisons across countries and over time, and because we merge data from different countries into a common dataset for each round, it is **critical** that data are presented according to a **common template**. For example, the same variable must always have the same variable name and definition (e.g., type (string, numeric or date), width, etc.) in every dataset. In addition, any given code must represent the **same value** regardless of the time or place of the survey.

Afrobarometer requires that we receive data in the form of a matrix in an SPSS.sav file. Francophone partners will be required to provide the datasets in both French and English.

The Core Partners will provide each National Partner with a Master Template for the dataset. The template will be available in both English and French. Data entry clerks will be required to transfer the data from individual questionnaires onto French/English templates.

As with the questionnaire, the template will need to be indigenized by each partner to add country specific questions or codes, delete any unasked questions, etc. But otherwise, the template should **not** be changed so as to aid merging of country datasets. When necessary, CPs and/or the Network Data Manager may be able to assist NPs with indigenizing the template upon request.

For Round 6 we recommend the use of CSPro instead of SPSS Data Entry Builder (DEB) and Data Entry Station for entering data. This free software has a much more user-friendly interface for data entry (to match the Afrobarometer questionnaire) than SPSS, thereby reducing the likelihood of data entry errors. CSPro shares most of the features offered by SPSS, such as required fields (preventing skips), validation rules (preventing out-of-range values) and checking rules (checking cross-question linkages). CSPro can also aid the management of the data entry process, by capturing the start time and end time for entry of a questionnaire, giving the manager information about clerks' efficiency and any cases of misconduct (copying records, resulting in duplicate cases). CSPro files can be easily exported onto SPSS. The package is available from the U.S. Bureau of Statistics at:

<http://www.census.gov/population/international/software/cspro/csprodownload.html>

However, if any NI or Contractor is more comfortable with other data entry software, they may propose using it as an alternative, subject to approval by the Network Data Manager. Nonetheless, the final dataset must still be presented in SPSS format.

The National Partner will indigenize the data template to match the indigenized questionnaire. The indigenized template should be completed and submitted as a deliverable to CPs well in advance of Fieldworker Training so that data entry training routines can be integrated into the training program, and the Data Entry Team can test the template using pilot questionnaires from the Fieldworker Training.

NP Data Managers are encouraged to consult with and fully update their CPs regarding their data entry preparations and software needs and preferences, including if they will require assistance in indigenizing the data entry template.

#### 7.4 Questionnaire Identification

A completed questionnaire is known as a “return.” As each return comes in to the office from the field, the NI or Data Manager allocates it a unique, seven-digit **Respondent Number** on the top left of the cover page. The first three digits are letters representing the country (BEN, BOT, BFO, BDI, CAM, CVE, CDI, ETH, GHA, GUI, KEN, LES, LIB, MAD, MLI, MAU, MLW, MOZ, NAM, NIG, NGR (Niger), SAF, SEN, SRL, TAN, TOG, UGA, ZAM, ZIM, SWZ). The last four digits are a number beginning with 0001 and running through 1200 (or 2400). These seven digits become the permanent identification number for the individual case represented by the return. Once data entry begins, this number is entered as a row marker in the first column of the template. Note that because all individual country datasets will be merged into a single Round 6 dataset, it is essential that respondent numbers in all countries match this format.

It is very important that every questionnaire be assigned a **unique Respondent Number**, and it is also preferable that all cases in a single EA should be consecutively numbered. This requires careful handling of incoming questionnaires. Steps that can be taken to ensure that duplicate numbers are not assigned include: 1) pre-assigning each EA in the sample a range of respondent numbers (although questionnaires should only be numbered once they arrive back at the headquarters); and 2) assigning only one person to the task of numbering questionnaires as they arrive in the office. Before a dataset is finalized, a frequency analysis should be run on the Respondent Number to ensure that each respondent number has been used only once.

In addition, each questionnaire will also record a unique number for both the interviewer who administered it as well as the data entry clerk who entered it, following a similar pattern. Each data entry clerk should insert their number in the space provided at the top of the questionnaire, immediately after the Respondent Number and Interviewer Number. In addition, both should sign the questionnaire at the end. Being able to identify the data entry clerk who has entered each questionnaire is very helpful in the quality control process.

NPs will also need to ensure that their datasets include a numeric variable that serves as a **unique identifier for each EA**. In some countries, the official EA number drawn from the sample frame will serve this purpose. However, in others, EAs are identified by a string variable (name) rather than a number, or EA numbers are repeated across different districts or provinces. In these cases, it will be necessary for NPs to add a variable into the dataset, identified as **EANUMB\_AB**. Each EA can then be assigned a number, e.g., 001 through 150 for sample sizes of N=1200, or 001 through 300 for sample sizes of N=2400. Having a unique EA identifier in the dataset is important in order to rapidly

and correctly complete cleaning of all EA information, and to confirm that the actual sample accurately matches the drawn sample.

### **7.5 Scanning and Storing Questionnaires**

In Round 6 partners will need to scan electronic copies of 25 questionnaires as soon as the dataset is submitted for the purposes of checking the quality of data entry. The CP/Network Data Manager will send a list of questionnaire numbers.

Partners need to store hard copies of the questionnaires for at least three years. Since issues of data verification may arise, this foundational source must not be destroyed during this period.

### **7.6 Country-Specific Codes and Post-Coding**

There will be a few questions that utilize country-specific codes or involve post-coding. These include the questions on language, the questions about political parties and the question about tribe or ethnic group. In each case, country-specific lists are supposed to be added to the questionnaire during the indigenization process, and country-specific codes assigned from the country's pre-assigned coding range listed in Section 4.3.3.

For each of these questions, there is also an "other (specify)" option so that responses offered by respondents that are not included on the pre-selected list can still be captured. A second string variable will be included in the dataset for capturing verbatim any "other (specify)" responses that are recorded. It will then be up to the NI and/or the data manager to code these additional responses.

The same is true if questions requiring post-coding are added among the country-specific questions. In these cases, both the verbatim transcripts of the responses and the codes must be captured in the dataset, and NIs and/or Data Managers will be responsible for assigning and carefully checking post-codes.

Note that for the questions identified with country-specific lists and codes, it should be clear that the more complete the pre-coded list provided on the questionnaire, the fewer responses there will be in the "Other (specify)" category, and the less work there will be for National Investigators and Data Managers in handling post-codes. Thus, making the pre-coded country-specific lists of languages, tribes/ethnic groups, and political parties as complete as possible will make the job easier when it comes time to do post-coding and data entry.

Also note that if the pre-coded lists are relatively complete, in most cases the few "Other (specify)" responses received will not require that a new coding category be created; they can simply be coded as 9995=other. But any response that appears in "Other (specify)" in more than 10 cases should be assigned a unique post-code.

### **7.7 Data Entry: Staff and Equipment**

The National Investigator may wish to engage a Data Manager to oversee day-to-day management of data entry and cleaning. It is essential that this person have experience in data entry, including supervising a small team of data entry clerks. Some National Partners have their own computer laboratory and a permanent staff of data entry clerks. Others will have to establish these facilities from scratch.

If a computer lab must be set up, the NI should plan ahead to hire computers (minimum 4) and have them loaded with the relevant data entry software. A small team of up to 8 data entry clerks can then be recruited, trained, and closely supervised. Since data entry is tedious, clerks should not work more than 6 hours per day, possibly in two shifts. With 8 clerks it is entirely feasible to run two daily shifts with just 4 computers, though arrangements for supervision must be made for all times that data entry is underway. A data entry plan will help to determine who will do what, and when, and enable the task to be completed by a planned deadline. Generally speaking, data entry should not take more than two or three weeks.

We strongly recommend that all data entry clerks participate in the Fieldworker Training workshop. The more they can familiarize themselves with the questionnaire prior to starting data entry, the fewer errors they are likely to make, and the more efficient the data entry process becomes. Among other things, they should be trained to keep an eye out for missing data on returns, and to bring it to the attention of the Data Manager when they find it. They must clearly understand that skipped entries or “system missing” (“.”) data is never acceptable in the datasets. They may also be trained to understand the linkages between certain questions so that they can catch errors as they are entering (it is much more efficient to correct them on-the-spot than to have to return to the questionnaire again later).

Before data entry begins, there should be a “trial run” training exercise for data entry clerks. This is best done using the pilot questionnaires. In addition to testing the template and providing practice for data entry clerks, this can also be an opportunity to identify common fieldworker errors and address them with the interview staff before they go to the field. Any pretest data captured during training should not, of course, be included in the final dataset.

## 7.8 Data Entry

It is recommended that prior to data entry, the NI, Data Manager, and/or another trained person who is very familiar with the questionnaire try to quickly review each return that comes in. This will provide several benefits:

- First, they can look for missed questions. This will give them early feedback on how various Field Teams and individual Fieldworkers are doing in terms of the quality and thoroughness of their work, so that they can provide feedback, and address any serious problems that are identified early on. They can also clearly mark these questions with a “-1” on the questionnaire to assist Data Entry Clerks in correctly entering the data.
- They should also review each of the sets of linked questions identified in Section 4.6.2 to ensure that Fieldworkers are properly capturing the linkages. Again, if they find mistakes, it will offer an early opportunity to alert Field Supervisors to problems so that they can be rectified. In addition, it may be possible to correct the data recorded on the questionnaire (e.g. if a substantive response was recorded on a question that should have been “not applicable”) before data entry, so that they won’t have to return to clean the case after data entry is complete.
- They should also check all of the EA information on the front page of the questionnaires to ensure that Field Teams are entering the same information for all cases in an EA.
- The NI can also look for other evidence (back checks, overall quality of returns, etc.) of how well Field Supervisors and Fieldworkers are performing.

It is useful to recall the **standard codes** used by Afrobarometer for certain types of responses:

- For Don’t Know: 9, 99, 999 or 9999
- For Refused to Answer: 8, 98, 998, or 9998

- Not Applicable, Correctly Skipped: 7, 97, 997 or 9997
- For No Further Answer (where multiple responses are allowed): 9996.
- For Other: 95, 995 or 9995
- For Missing Data: -1 (DO NOT USE unless absolutely essential. Every such instance must be accounted for in the Fieldwork and Methodology Report)

Once data entry is set to begin, it is important to remember that it is **much more efficient** to have **data entered carefully and correctly in the first place**, than to have to spend a lot of time cleaning the data and re-checking questionnaires after data entry is complete.

The key to accuracy in data entry is **close supervision**, backed up by **regular cross-checks**.

NIs and Data Managers will need to determine whether they will do **rolling data entry** or **batch data entry**. Rolling data entry simply means that Data Entry Clerks begin entering questionnaires as soon as the first ones are received in the office (usually returns from interviews conducted in the capital city, which will begin arriving within a few days of the start of fieldwork), and continuously enter them as they flow in from the field. Batch entry refers to a system in which data entry does not begin until fieldwork is complete, and all questionnaires have been received at the office and reviewed by senior staff.

Advantages of rolling data entry include earlier completion of the data entry process, and the ability to identify common Interviewer mistakes (either for particular interviewers, or for the entire team) early on, and alert Field Supervisors so that the problems can be corrected.

Advantages of batch data entry may include improved management: since fieldwork and data entry are not occurring simultaneously, the NI and other senior staff can focus on each task in turn.

Whichever method is used, **careful file management** will be essential to the efficiency and effectiveness of the data entry process. It is crucial that data entry clerks **save data files** at regular intervals. In addition, we suggest that each clerk identify their files with the date of entry and their own ID number in order to assist the Data Manager in tracking files. The Data Manager needs to have a plan for regularly collecting and merging the cases entered by all clerks in a systematic way in order to avoid both duplicated downloads (merging cases into the main dataset twice), or missed downloads (failing to merge some cases). It is recommended that data entry computers are connected to a restricted network, which makes backing up and merging data much easier.

## 7.9 Double Entry of Data

The best tool we have available for ensuring the quality of data entry is cross-checking via **double entry** of a portion of the questionnaires. Partners will be required to double enter a minimum of 25 percent of all questionnaires. Thus, in a dataset with 1200 cases, a minimum of 300 cases should eventually be double entered. It is recommended that at least one Data Entry Clerk (and it should be one of your best clerks) should be specifically designated to do all double entry and quality checking. Clerks should not be double entering and checking their own work, as this will not allow the manager to provide adequate oversight and quality control. Double entry should be conducted during all phases of the data entry process. In particular, it is strongly recommended that:

- Some double entry (suggest 125 cases for N=1200 datasets) should be done at the very beginning of the data entry process to check the quality of the work being done by each data entry clerk. Each clerk should then be informed of the number of errors found in his/her work, and encouraged to improve the quality. Any clerk whose work shows too many errors

must either be relieved of their duties, or supervised very closely, with the quality of their work frequently re-checked.

- After this initial, thorough quality check for each clerk, spot checks should continue throughout the data entry process (additional 125 cases for N=1200). Data Entry Clerks should be informed (warned) if the quality of their work is ever found to decline rather than improve.
- Finally, after all cases have been entered, a *random* selection of at least 50 questionnaires (preferably more) should be double entered, and the total error rate determined. Afrobarometer requires a data entry error rate of less than 1% of all entries. In other words, on 50 questionnaires with approximately 300 variables to be entered (i.e.,  $50 * 300 = 15,000$  total entries), there should be no more than 150 errors. Partners are to promptly send this sub-dataset to the Network Data Manager.

After datasets have been submitted to Core Partners, the Network Data Manager will do a similar final quality check on the dataset. National Partners will be required to scan **25 questionnaires** selected by the Network Data Manager and send these to the Core Partner and Network Data Manager, which will be used to conduct a quality check. If the error rate is found to be greater than 1%, the National Partner will be required to conduct additional double entry of questionnaires to find and correct errors to reduce the error rate in the dataset. The Core Partner will determine the extent of additional double entry required at this point based on the error rate found in the quality check.

## 7.10 Cleaning and Verification

The verification and cleaning of data is a continuous process that begins as soon as any entered data is available and culminates with a thorough review of the full dataset once data entry is complete. There are two types of cleaning: basic and advanced. **Basic data cleaning** involves running simple frequency counts for each variable to check for mislabeled, out-of-range, or system-missing data, and then correcting as necessary. Some simple guidelines for basic data cleaning can be found in Appendix 9. **Advanced data cleaning** involves using cross-tabulations to check for **internal consistency** on the linked questions identified in Section 4.6.2. For example, if a person indicates that they are not close to any political party on Q90A, then the response on Q90B, which asks which party they are close to, should always be 997=Not applicable. Detailed guidelines on how to clean the linked question sets for internal consistency can be found in Appendix 10.

Keep in mind that data errors can arise in two places: 1) in the field, with incorrectly filled questionnaires (e.g., skipped questions, or incorrectly linked responses between question sets), i.e. the code marked on the questionnaire is wrong; or 2) during data entry, i.e. when the code entered in the dataset is wrong. This is why investing in careful training and supervision of Fieldworkers and Data Entry Clerks up front will pay off when it comes the time to clean the data. Implementing strong quality control measure *during* fieldwork and data entry will lead to fewer mistakes being discovered during data cleaning, and less time spent on digging through the individual questionnaires by hand to correct them.

In some cases it is obvious where an error occurred – out-of-range values can't be selected by Fieldworkers, so they can only occur during data entry, and clearly require checking the questionnaire to find the correct code. But a skipped (system missing) value in the dataset could result from an error either by the Data Entry Clerk or by Fieldworker error. In most cases, when errors are found, the first step is to check the original questionnaires (or a scanned copy) to confirm whether the entries on the questionnaire were correctly captured. Then, if the original entries were wrong (e.g., incorrect

linkage between two questions) the Data Manager or NI will need to determine the appropriate correction according to the guidelines to be provided.

The final step in the cleaning process is data **verification**. This involves devising external checks that compare the dataset to the original sample and/or to the actual national population, such as:

- The proportions of urban and rural respondents for each province or region should match the intended sample.
- The gender distribution should be approximately 50-50.
- The weighted distributions with regard to ethnic groups, religion, education status, etc. can be compared to official figures or estimates made by others.

You can devise other verification tests of your own. Most can be run using simple cross-tabulation procedures. Please advise Core Partners of your favorite verification tests so that we can share them with the Network.

Once the data is cleaned and verified, it should be saved as a “READ ONLY” file, that is, as a **permanent record that cannot be edited**. A separate copy (not “read only”) can be used as a working file.

### 7.11 Delivering Datasets

The key target date in survey planning concerns the delivery of a cleaned and verified dataset. This date will have been agreed on in advance between Core and National Partners, and will be included in the timeline agreed to in the contract signed by these two parties. **Timely delivery of data** to Core Partners according to the agreed schedule is critical. Therefore, as indicated in Section 3.2, Round 6 contracts will specify the penalties to be incurred for late delivery of datasets, and Core Partner Project Managers and Financial Officers will be under strict instructions to enforce these clauses. To avoid causing data cleaning delays, Core Partners will be required to provide feedback on the quality of datasets, including identification of any problems observed, within ten days of the receipt of a dataset from a National Partner. During this time, the CP will both conduct their own review of the data, and also consult with the Network Data Manager for additional comments or issues, and will then give the NP a comprehensive review of the data compiled by both parties.

### 7.12 Weights

In Rounds 1 through 3, the Afrobarometer did only minimal weighting of data to correct for over- or under-samples of certain populations, usually based on region or urban-rural location. Starting in Round 4, however, we began collecting additional data from partners in order to improve our calculations of weighting factors based on individual selection probabilities, which are now included for all countries. This requires that the sampling reports provided to Core Partners include the population of each EA selected and the total population of each stratum. This allows us to compute much more comprehensive and accurate within-country weights, which will again be identified by the variable “withinwt”. In Rounds 4 and 5, MSU took responsibility for inserting the necessary population data (e.g., EA population, strata population) into the dataset for each case so that weights could be calculated. In Round 6, it is anticipated that the Network Data Manager will have responsibility for the calculation of weights.

### 7.13 Data Ownership

The Core and National Partners jointly own the data. Within the limitations of the guidelines for presentation and analysis of the data presented in Section 8 and Appendix 11, all partners are free to analyze the data as they see fit.

#### **7.14 Data Merging**

For Round 6, it is anticipated that the Network Data Manager will merge all clean country datasets. National Partners will receive copies of the merged dataset for their own use.

#### **7.15 Data Archiving**

As mentioned above, National Partners are required to keep hard copies of the original survey returns on file for at least three years after the end of fieldwork. Since issues of data verification may arise, this foundational source must not be destroyed during this period.

MSU will maintain the Afrobarometer Network's internal archive of all datasets, protocols and field reports. An archive will also be kept at CDD. Great progress has been made on developing an internal file management system using the online platform OneHub in order to share datasets and other data-related documents.

#### **7.16 Release of Data**

Because the Afrobarometer is funded from public resources, its data are a public good. All data is eventually released via the website and other outlets, along with relevant codebooks. But, to allow initial in-house analysis and publication, the data is subject to an initial embargo. The embargo period used to be two years from the first release of results. However, due to popular demand, including from our donors, the Afrobarometer has been steadily reducing the embargo period. As in Round 5, data in Round 6 will continue to be released **one year after the end of fieldwork**.

All Partners are requested to adhere to this protocol by refraining from releasing datasets to ANYONE outside the Afrobarometer Network until the embargo is over. If you wish to co-author a paper with a person from outside the Afrobarometer Network during the embargo period, please request clearance from Core Partners, inform your collaborator that the data may be used for your co-authored project only, and publish the results as an Afrobarometer Briefing or Working Paper.

Upon release, MSU will post the datasets and codebooks on the Afrobarometer website, and archive it with the Inter-University Consortium for Political and Social Research (ICPSR) at the University of Michigan. National Partners should likewise arrange to deposit datasets with the National Archives (and/or other relevant depositories) in their own countries. The data is also being archived by the Democracy in Africa Research Unit (DARU) in the Center for Social Science Research (CSSR) at the University of Cape Town.

#### **7.17 Response rates**

The Summary of Results must include a Survey Technical Information Form, with sampling details and outcome rates. The calculation of outcome rates is responsibility of the NDM. Below are the Afrobarometer definitions for the various outcome categories:

- Refusal (R) = Refused to be interviewed

- Non-contact (NC) = Person selected was never at home after at least two visits; Household/Premises empty for the survey period after at least two visits
- Other (O) = Not a citizen/Spoke only a foreign language; Deaf/Did not speak a survey language; Did not fit gender quota; No adults in household; Other

Partial interviews should be included in the calculation of response rates. If 60% of questions are answered by the respondent, such case should be treated as Interview Completed (I). If less than 60% of questions are answered by the respondent, such case should be treated as Refusal (R).

A special case arises if the respondent completes more than 60% of the interview but subsequently refuses permission for the data to be used (usually when people stop answering after sensitive questions, such as race). Such cases should be treated as Refusal (R). Interviewers should report this in their comments at the end of interviews.

Below are the formulas for the calculation of the various outcome rates:

$$\text{Contact rate} = (I+R+O)/(I+R+NC+O)$$

$$\text{Cooperation rate} = I/(I+R+O)$$

$$\text{Refusal rate} = R/(I+R+NC+O)$$

$$\text{Response rate} = I/(I+R+NC+O)$$

## Section 8: Data Analysis and Report Writing

As noted earlier, the Afrobarometer is a rich and unique resource. It casts light on public opinion - which has previously been poorly understood in Africa - on a range of topics that are directly relevant to the continent's socio-political development. Through findings of the Afrobarometer surveys, we are able to systematically compare what ordinary people think about the performance of their governments over time. And we can situate various countries on a wide range of indicators in relation to their neighbors elsewhere on the continent.

Because the data are so valuable, it is critical that the Afrobarometer avoids a pitfall common to many large-scale, data-based research projects, namely, that data are collected but are never fully analyzed and reported. To engage in self-criticism for a moment, we would have to admit that data from Rounds 1, 2 and 3 of the Afrobarometer remain under-analyzed and under-reported, especially on the African continent. Although there have been improvements in the utilization of Round 4 and 5 data, there is still a notable gap in the level of use between African and non-African based partners.

### 8.1 Outlets for Afrobarometer Results and Analysis

In addition to the topline results presented in Afrobarometer Summaries of Results (SORs), there are several other primary vehicles for releasing results and presenting interpretation and analysis: including Media Briefs, Press Releases, Dispatches, Policy Papers, and Working Papers.

**Media Briefs** are comprised of the powerpoint presentations used in the initial disseminations. They are usually comprised primarily of graphics and bullet points reporting key findings on (usually) between one and three selected topics or themes of significant popular or policy interest. The release of Media Briefings (and Dispatches) is normally preceded or accompanied by a Press Release highlighting the main findings.

At the end of Round 5, the Afrobarometer made a decision to discontinue the Country Bulletin series. These will be replaced in Round 6 with Afrobarometer Dispatches and Policy Papers.

**Afrobarometer Dispatches** are short analytical summaries of a particular topic, usually between 6 and 10 pages, that explores an issue of policy relevance. They rely primarily on descriptive statistics (frequencies, cross-tabulations) for presenting and discussing the data on the policy issue of interest. They are aimed primarily at policymakers and policy advocates, including government officials, civil society organizations and the media.

**Afrobarometer Policy Papers** are longer, usually between 10-20 pages, and they are more technical in nature. They may make use of more advanced statistical analyses (e.g., regression analysis, factor analysis), but they nevertheless still constitute a preliminary analytical exploration of a policy issue or research topic. The intended audiences usually include more technically-minded policy makers, users from the donor community, and academics/researchers. These will be a primary outlet for analyses produced by participants in Afrobarometer Summer Schools.

Finally, **Afrobarometer Working Papers** are full length analytical pieces, usually between 20 and 40 pages, that are typically being developed for publication in academic journals, books or other publishable academic research literature. The policy and/or research topics covered, as well as the nature of the methods used, will vary, but the analytical sophistication of this type of research publication will remain exceptionally high. The papers may interpret descriptive statistics in local context, compare one country with another, compare trends over time in one or more countries, or test general explanations about **why** surveyed Africans think and act as they do. The intended audiences

usually include more analytically-trained policy makers, users from the donor community, and academics and researchers.

The documents to be presented during disseminations – including Media Briefings, Press Releases, Afrobarometer Dispatches and Summaries of Results – are discussed in further detail in Section 9.4. In addition, detailed guidelines and templates for the production of each of these documents will be shared with all partners.

Note that *before any document can be printed and distributed under the name of the Afrobarometer, it must be reviewed and approved by a Core Partner*. As discussed elsewhere, when preparing Bulletins for releasing results, National Partners must allow adequate time for Core Partner review.

## 8.2 “Do’s” and “Don’ts” of Data Analysis and Reporting

\* DO have an audience in mind. Pitch your presentation at their level. Present results in such a way as to achieve your objective (e.g. to prompt a discussion, to influence a policy, to revise a theory).

\* DO distill the key and topical issues from the survey and present them in the form of bulleted points highlighting key findings. Different highlights should be prepared with the target audience(s) in mind.

\* DO provide context wherever possible by integrating your findings with other facts and information about what is actually happening in the sector that you are addressing, e.g., keeping in mind current policy debates going on in parliament or elsewhere, or other information that is being reported about the sector. Integrate what you are reporting with what is happening on the ground in your country. Avoid reporting what is bureaucratic and distant from real-world issues. Make the survey findings relevant for your audience and country.

\* DO begin all reports with:

- a statement of the problem or theme explored by the report
- an overview of the Afrobarometer project, including country coverage over time. Where possible, include the latest map of AB country coverage for visual reference.
- a brief description of the methodology
- a table detailing the demographic characteristics of the sample (for Working Papers) or a brief summary of them (for Briefing Papers)
- an account of the political and economic context in which the survey was conducted
- an executive summary (for Working Papers)

\* DO cite the source of all data used, reference the Afrobarometer website, and mention key Round 6 funders.

\* DO focus on the BIG PICTURE. DON’T get lost in the minutiae of responses to every last question. Try to find an overriding THEME or themes.

\* DO think conceptually. And organize your report accordingly. Group the sets of questions you want to deal with into separate sections of your report. For example, gather together and discuss results for support for democracy before you move on to discussing satisfaction with democracy.

\* DO begin each paragraph with a subject sentence that captures the main point you want to make. For example, is a particular level of opinion, support or opposition high or low in absolute terms? Are responses high or low in relation to other important questions? In relation to the previous survey?

How do responses differ across key sub-groups of major interest (especially gender, region and education)?

\* ONLY THEN recite or display statistics.

\* To avoid mechanical repetition (which soon becomes boring), DO NOT simply recite percentages that gave each response option to each question. COMBINE or aggregate response categories in a sensible way (e.g., agree plus strongly agree). You might also want to only report those who support, or only those who oppose, leaving it to the reader to infer the data that are not presented.

### 8.2.1 Descriptive Statistics

\* DON'T present raw data; always standardize it, for example into percentages or fractions. Summarize these general findings in words.

\* DO avoid implying a false sense of precision. For this reason, percentage distributions should always appear *without* decimal points in Afrobarometer reports intended for public consumption. The main exceptions are as follows: when presenting mean values of responses distributed on a 0-10 scale, or of constructed indices or scales, values can be presented to one decimal place.

\* Before reporting descriptive statistics, DO calculate (and turn on in SPSS) any weighting variable that corrects for under- or over-sampling of particular demographic groups within a country (the variable usually labeled as WITHINWT)

\* In general, DO simplify the presentation of frequency distributions by combining response categories e.g., “very good” and “fairly good” into “GOOD”, and “very bad” and “fairly bad” into “BAD”. Response categories should be combined prior to rounding percentages into whole numbers. However, you may occasionally wish to report categories separately if they demonstrate a noteworthy feature, such as a very high proportion of Respondents who hold views “strongly.” Alternatively, such features can be mentioned in the text.

\* Where appropriate, report “DON'T KNOW” responses, especially if there are many.

\* Always include “don't knows” and “refused to answer” in the denominator for calculating percentages or fractions.

\* Wherever descriptive statistics are too complicated to describe in an easily readable sentence, complement the narrative with a table or a graph. Err on the side of presenting too many tables rather than too few.

\* Always include the exact wording of the question in some accessible spot: i.e. in the text, table or graph, or in a footnote to the text, table, or graph. Also, please number and label each table or graph with a heading.

\* When presenting statistics describing the attitudes of sub-national groups (women, university graduates, Shonas, northerners, urbanites, etc.) attach a disclaimer in an endnote to the effect that, given the smaller size of sub-samples, generalizations about sub-populations should be treated with caution due to a higher margin of sampling error. In general, results should not be reported for sub-samples that contain fewer than 60 respondents (usually 30 of each gender), and sub-samples of at least 100 respondents are preferable.

\* IMPORTANT. Make sure that the narrative correctly interprets the data. For example, don't use evidence about “satisfaction with government performance”, or even “satisfaction with democracy,” to comment on “support for democracy.” Most Afrobarometer concepts are theoretically unique and

each is measured with a separate indicator in the questionnaire. To be credible, our reporting should maintain these important distinctions.

### **8.2.2 Cross-National Comparisons**

\* DO place your own country in cross-national context. Report its results on a given indicator next to results for other countries on the SAME indicator. Such comparisons are especially important if you want to make a case on where your country stands and whether attitudes in your country are “high”, “low,” or “average”.

\* DON'T leave the statistical comparison un-interpreted. Figures do not speak for themselves. DO venture an explanation or interpretation as to **why** Country A is the same or different to Countries B or C. Some background information concerning participating countries will help to come up with appropriate explanation/interpretation.

\* Before making comparisons of frequencies from various countries, DO calculate (and turn on in SPSS) a weight that corrects each national data set (WITHINWT).

\* To derive a mean score for several countries, DO calculate a weight that treats every country as if its sample were the same size (for the Round 2, 3, 4 and 5 merged data sets, this variable is ACROSSWT). The variable COMBINWT combines WITHINWT and ACROSSWT, and should be turned on when reporting multi-country results.

### **8.2.3 Over Time Comparisons**

Because time-series data are becoming available, we are increasingly making comparisons across time. Now that we have four to five observations over time in many countries, we are on a firmer footing in inferring trends. We hope to hold a capacity-building workshop on time-series analysis at some date in the future. We must nonetheless still be cautious about inferring “change” in attitudes when observing differences across a few observations in time, which may also be due to (a) random variation in poorly formed “non-attitudes”; (b) the momentary influences of some salient events; or (c) a counter-directional “blip” in a longer-term secular trend that actually runs in another direction. In addition, we must be sure to consider the margins of sampling error when inferring whether two observations are really statistically different or not.

### **8.2.4 Comparison with Findings of Other Surveys**

It can be useful and interesting in Bulletins or Working Papers to compare Afrobarometer findings to those from other surveys when they are available. Findings of other surveys can be used, for example, as a starting point for the discussion of Afrobarometer results, or a Bulletin or Working Paper may seek to confirm or rebut other survey-based analyses. When making these comparisons, it is especially important to report any significant differences between the Afrobarometer methodology and the methods used in other surveys mentioned (e.g., if they include only urban samples, or use significantly different methods for Respondent selection or data collection).

### **8.2.5 Bi-variate Explanatory Models**

\* DO disable all weights in SPSS when calculating coefficients of relationship among or between variables (whether two variables or more).

\* The simplest form of analysis looks at the relationship (bi-variate) between two variables, e.g., gender and voter turnout. All Afrobarometer reports should, at minimum, explore the effects of basic demographic variables (e.g., gender, age, urbanity, region, education) on key attitudes or behaviors. There is no need to mechanically present the effects of *all* such factors. Be intelligently selective.

Either the theoretical literature or your own local knowledge will tell you *which few* factors are likely to be influential and, therefore, which to emphasize in the write-up.

\* Depending on the level of measurement of the variables, DO be careful to choose the correct statistic: e.g., nominal by nominal = Chi square, interval by interval = Pearson R correlation coefficient. SPSS provides a menu to help with this task (in version 20.0, it can be found under Analyze/Descriptive Statistics/Cross tabs/Statistics).

\* DON'T report any relationships that are not statistically significant at the 95 percent level or better. This standard refers to all country samples (usually 1200 cases). With a full Afrobarometer sample (over 50,000 cases in Round 5), a 99 percent confidence level can be employed. Note, however, that it may at times be appropriate to report that an expected relationship is *not* statistically significant. We should do so especially if our findings help to debunk conventional wisdom.

\* DON'T present findings that cannot be expressed in clear and simple words. Keep the narrative flowing. Export all supporting technical analysis to footnotes or endnotes where those who are interested can find it.

\* DO remember that bi-variate associations do NOT control for other possible influences. Thus, a statistically significant relationship between being male and turning out to vote may not be due to “maleness,” but rather to the fact that boys have usually received more education than girls. But to distinguish the discrete effects of numerous influences, it is necessary to conduct multivariate analysis.

### **8.2.6 Multiple Regression Analysis**

Ideally, some of our Afrobarometer analyses should employ the techniques of multiple regression analysis that we have learned at our Summer School Workshops. A powerful technique, regression analysis allows us to “explain” key phenomena of interest, such as satisfaction with democracy. It isolates and ranks the most powerful explanatory factors and gives the analysts a sense of how much variance overall these factors explain.

\* Alone or in cross-country teams, DO make use of the Workshop training to attempt multivariate analyses for a phenomenon that interests you.

### **8.3 Editing and Publication**

Before any documents can be published and distributed under the Afrobarometer name, it must be reviewed and approved by a Core Partner.

If you provide a satisfactory first draft, the Core Partners can assist with refining the analysis and /or presentation to make it publishable as an *Afrobarometer Dispatch*, *Policy Paper* or *Working Paper*. All AB publications undergo a rigorous technical editing before publication. Papers that get published under the *Policy Paper* and *Working Paper* series will usually require detailed analysis that goes beyond simple presentation of descriptive data. Good papers that stand the best chance of being published at this level employ some combination of descriptive data, cross-national comparison, over-time comparison, bi-variate explanatory models or multiple regression analysis. Authors are consulted on proposed edits before the papers go to press or the website.

### **8.4 Writing Incentives**

In Round 6, the Afrobarometer will start to offer cash incentives to National Partner Organizations, individuals from National Partner Organizations and/or postgraduate students to encourage them to

produce and publish Afrobarometer Dispatches, Policy Papers and Working Papers in addition to those required by standard survey contracts. The incentive structure will be based on the following scale:

1. US\$500 for a published Afrobarometer *Dispatch* (and for Briefing Papers published up to the end of Round 5)
2. US\$750 for a published Afrobarometer *Policy Paper*, and
3. US\$1500 for a published Afrobarometer *Working Paper*

#### **8.4.1 Eligibility**

Afrobarometer National Partners must first and foremost produce and deliver on the publications that form part of their contractual obligations to the Afrobarometer. Publication incentives will only be paid to Afrobarometer National Partner organizations or their staff for publications they produce in addition to those required under their contractual obligations. Eligibility will however be retroactive for all of Round 5. Thus, if an NP produces four publishable Briefing Papers during Round 5, they will receive incentives for two of them, regardless of when during Round 5 they were produced (e.g., including those already published in excess of the required two).

Afrobarometer staff based at core partner organisations and supporting institutions are subject to the same conditions, as noted above, as employees of Afrobarometer national partner organizations. Afrobarometer Senior Management are not eligible to receive payments for any of their research publications, although their co-authors are.

Other African citizens who have participated in Afrobarometer training courses or Summer Schools are also eligible for incentives for publications produced as part of the training program or as a direct outcome of the training.

#### **8.4.2 Payment**

Payments will be offered on a per publication basis and not on a per author basis. Where multiple authors exist for a single publication, the authors must jointly submit to Afrobarometer a note indicating how the payment will be distributed among the authors.

As a general rule Afrobarometer prefers to make payments to authors' institutions/organizations rather than to individuals. When payments are made to individuals, tax withdrawals may apply.

#### **8.4.3 Submission Procedure**

Members of the Afrobarometer Network who have participated in the Afrobarometer Summer Schools or any other Afrobarometer training workshop should as a first point of contact approach the Afrobarometer Capacity Building Manager at [ABCcapacityBuilding@gmail.com](mailto:ABCcapacityBuilding@gmail.com) as a means of gaining assistance in conceptualising and developing their research publication.

## Section 9: Communications

Afrobarometer data are increasingly being recognized as an important tool for giving voice to citizens, and conveying their preferences and assessments to governments and other policy actors. During Round 5, we adopted the rolling release of results approach to expand opportunities for multiple audiences, including policymakers and policy advocates, to learn about the data. During Round 6, we will focus on targeting audiences, while piloting several alternative approaches to releasing survey results and building relationships with stakeholders. The aim will be to continue building audience awareness, while also helping ensure that people know how to use the data.

In designing the Communications Program for Round 6, we have drawn on the lessons learned by the Network from Round 5 activities. The most significant changes in the Afrobarometer Communications Program in Round 6 will include:

- A greater focus on *partnerships and capacity building* among policymakers and advocates
- New approaches to communication that emphasize *the policy significance* of the data
- Introduction of new *alternate activities* to replace the standard fourth release event
- Introduction of *pilot activities*
- Continued experimentation with *new formats* for releasing results

The revised Round 6 program for dissemination of survey results is described in detail below.

### 9.1 Stakeholder meetings

One way to establish a continuous program of communications is through early and ongoing engagement with users and potential champions of the Afrobarometer. In Round 6, all national partners will therefore be required to hold three stakeholder meetings to assist in targeting audiences and urging policymakers to use the results. A small budget will be included in the survey budget to cover these events.

Stakeholders are individuals who are likely to understand, value, utilize and promote the use of public attitude data within the policy community. You may already know who many of these individuals are, for example, by identifying them from among the most engaged participants in past dissemination events, or from among those who have asked for assistance in utilizing results. Stakeholders can include:

- Policymakers themselves, and/or their staff;
- Non-governmental organizations that have been effective in shaping policy;
- Senior newspaper and television editors and reporters who help make coverage decisions; and
- Individuals from activist organizations that have taken steps aimed at attracting political leaders' attention to issues important to the citizenry, e.g., via lobbying, petition drives, media campaigns, protests or demonstrations, or other activities.

While the majority of stakeholders should be from the policy community and media, representatives of donor agencies and/or representatives from the academic community might also be included if they engage with the data in ways that will help to bring more attention to it within the policy community.

National partners are encouraged to be creative in deciding who to call upon to be a stakeholder. For example, in all 35 countries surveyed by Afrobarometer in Round 5, police attracted the highest perception of corruption ratings. In countries where corruption is an important national issue, why not invite high ranking police officers as stakeholders, especially individuals who have been tasked with

tackling the corruption issue, for example. Afrobarometer communications coordinators can also help NPs to identify stakeholders.

Stakeholder meetings should be arranged as follows:

- The first meeting is held prior to the field work and should involve stakeholders in designing country-specific questions (see Section 4.2). It will be helpful if some CSQs are part of a specific strategy by the NP and stakeholders to influence the policy debate and policy. For example, if stakeholders plan to do a report to Parliament or other government body on a specific topic, CSQs relating to the topic of the report could be included (and the NP and the stakeholder(s) might then also jointly plan a presentation on this data to parliament, for example).
- The second meeting should be held once the results come in and before the first dissemination to discuss the best ways and best times to present the results.
- The third meeting should be held after all the disseminations are over to plan follow-up activities.

Stakeholders can also play an important role in the dissemination events, including by attending themselves, promoting the events and recruiting other participants, and/or by serving as a chair/moderator or commentator at an event. It is expected that each stakeholder will attend at least one dissemination.

CP communications coordinators can help NPs to develop strategic data release plans in conjunction with stakeholders, to arrange follow-up meetings, or to assist stakeholders in utilizing Afrobarometer results in reports, presentations, or in other ways.

## 9.2 Rolling Release of Results

The rolling release approach adopted in Round 5 resulted in greater media and public awareness of Afrobarometer results. However, some partners reported difficulty maintaining media interest through four events, and the release plans did not incorporate follow up or options for encouraging post-dissemination use of the data.

In response, during Round 6, the following adjustments will be made:

- We will continue to use a four-event model built around the release of *media briefings* and other documents, but now with several alternates for the scope and content of the fourth event (e.g., NGO capacity building or policy summits).
- We will set target audiences for each of the events to guide partners in planning their disseminations and ensure that the data and findings get into the hands of the policy actors who will benefit the most.
- We are urging National Partners to engage a panel of experts to provide their opinions and reactions to the materials released during the third and fourth events
- We will shift from producing traditional Afrobarometer bulletins and briefing papers to pared-down *Afrobarometer dispatches* that will be faster to produce and review, be more accessible to targeted audiences of policy actors, and allow us to get information out to users in a more timely manner.
- Rather than releasing two *dispatches* simultaneously at the fourth event, we will release one at the third event and one at the fourth.
- Donor briefings are required.

- We will present the SOR at the fourth dissemination

The schedule and content of events therefore looks like the following:

- **Event 1:** Approximately *six weeks* after the completion of fieldwork, an event will be held to present initial results on selected issues (e.g., “hot topics” captured in Country-Specific Questions) via a *powerpoint media briefing*, accompanied by one or more *press releases*.
- **Event 2:** Approximately *ten weeks* after completion of fieldwork, a second event will be held to present further results, again via a *powerpoint media briefing* and accompanied by one or more *press releases*.
- **Event 3:** Approximately *14-16 weeks* after completion of fieldwork, an event will be held to release a first *Afrobarometer dispatch* on a topic important to policy audiences that has not already been covered, accompanied by at least one *press release* and one *powerpoint media briefing*. If desired, a second topic related to the first *dispatch* can also be presented via a *powerpoint media briefing*.
- **Event 4:** Approximately *18-20 weeks* after completion of fieldwork, a fourth release will occur following one of the following formats:
  - **Option 4.1:** A standard release event will be held to release a second *Afrobarometer dispatch* plus the *SOR*, accompanied by at least one *press release* and one *powerpoint media briefing*. Once again a second related topic can be released in conjunction with the *dispatch* if desired.
  - **Option 4.2:** A presentation of the second *dispatch* at a national or regional policy-summit or meeting involving NGOs and possibly policymakers. For example, in Round 5, AB presented data at the SADC CSO summit. The NP will still prepare a *press release, powerpoint presentation* and *SOR*, and the press release, dispatch and *SOR* will still be distributed electronically to media and stakeholders.
  - **Option 4.3:** One or (preferably) two presentations of the final *dispatch* directly to policy makers in a private meeting, ideally with high-ranking policy makers and/or their staff members. For example, the report could be released to:
    - Senior staff in a relevant government ministry or ministries
    - A group of MPs, or parliamentary chiefs of staff, or members/staff of a parliamentary committee
    - Leadership and staff of a political party
    - Representatives of one or more local government or municipal councilsThe NP will still prepare a *press release, powerpoint presentation* and *SOR*, and the press release, dispatch and *SOR* will still be distributed electronically to media and stakeholders.
- **Event 5:** Sometime during this period a *Donor Briefing* will also be held at a time agreed with Core Afrobarometer Donors. A *donor powerpoint presentation* will be prepared to accommodate the agreed topics and accompany any of the other standard documents (e.g., *SOR*, *dispatches*) that are distributed.

The objective of these release events is to inject our results into national policy debates by targeting the audiences that can be most effective in championing the use of data for policy making and using the data to speak about citizens' needs and goals.

Further details on the planning of each event, including preferred target audiences, and special deliverables required for alternative fourth events, are described in Section 9.3. Descriptions of each of the types of documents to be produced for these events are described in Section 9.4.

### ***9.2.1 Scheduling and Preparing for Events***

As data is being cleaned and finalized, NPs should develop a dissemination plan in conjunction with Stakeholders during the second Stakeholder meeting. The plan should include:

- Dates and topics for each event
- An indication of which option will be selected for event #4
- Key target audiences for each event
- Indications of who will be invited to serve as chair/moderator and/or discussants or commentators for each event
- Submission dates by which draft release documents will be submitted for CP review (see Section 9.2.3 below)

The dissemination plan should be submitted to the CP within *three weeks* after the completion of fieldwork.

NPs have the lead responsibility for producing the release documents and planning and preparing for events, although Core Partners can provide technical assistance and support if requested.

### ***9.2.2 Issuing Invitations***

When organizing release events, it is highly recommended that you address all invitations to specific individuals, rather than sending out blanket or general invitations to organizations or government departments, which are much less likely to generate a response. In order to engage with civil society organizations, it may be helpful to coordinate with umbrella organizations or groups that have strong links in the NGO policy community that might be able to help put together invitation lists and generate interest in the events. The rule of thumb in most countries is to send out invitations to NGOs and policymakers two weeks in advance and then follow up by telephone at least twice.

It is important to develop relationships with NGOs to encourage them to come to events, which sometimes means sending someone in your office or requesting the regional communications coordinator to attend regular country NGO umbrella committee meetings. Media invitations should be sent out in advance - with specific notes, delivered by hand, addressed to editors, by name, to encourage their participation. Media invitations should also be sent out on the day before the presentation, with calls made, wherever possible, both on the day before and on the morning of the presentation to remind the reporters about the event.

Where invited individuals cannot make it, ask if a representative can be sent instead.

### ***9.2.3 Document Review***

As always, *CPs must review and approve all documents before they are publicly released*, including media briefings, press releases, SORs and dispatches. It is the NPs responsibility to submit documents sufficiently in advance of events to allow for review and revision. This means documents must be received a minimum of **four working days** in advance for the first and second events, and dispatches must be submitted a minimum of **one week** in advance of their release. These deadlines are essential to allow for adequate review and revision, and therefore **mandatory**. If documents are not received by these deadlines, the CP is expected to ask the NP to re-schedule the event, at the NPs expense.

CPs will aim to provide feedback as quickly as possible on documents that are submitted, but feedback will be provided within a maximum of **two working days**.

#### ***9.2.4 Network Representation at Release Events***

Now that there are four release events spaced over several months it will not be possible to have Network or CP representation at all events, but a CP representative should attend at least one of the release events in each country. This provides an opportunity for sharing and exchanging, and continues to build relationships within the Network. Especially for new partners, the CP is likely to attend the first release event as the dissemination process is launched. For experienced partners, it may instead be one of the last two events when one of the dispatches is released. It is often beneficial to have an international/Network presence at events where more sensitive or controversial results are being released; NPs should discuss this with CPs if they feel that any event would benefit especially from the presence of a Network representative. It may also be a good idea to schedule the donor briefing during the visit of the CP representative if possible. Depending on how many other surveys have been completed, CP representatives may be able to contribute to the event by providing a brief presentation of cross country results on the relevant topic. CP communications officers will attend events whenever possible and work with the NPs to increase the effectiveness of their dissemination strategies.

### **9.3 Details of Release Events**

Following are some brief guidelines about preparing for the different events, and suggested audience targets.

#### ***9.3.1 Events 1 and 2***

The first two events should include data on "hot issues" that will attract the media's attention immediately, while keeping in mind the need to save two 'weighty' hot topics for the dispatches.

Target the audience to the theme of the release. For example, government revenue authority leaders and directors should always be invited to a dissemination on taxation; members of parliament should be invited to meetings on constitutional themes or themes related to current legislation; health or education advocacy organizations should be invited to meetings on service delivery; and the president's office should be invited to meetings on democracy, freedom of the press and other high-level rights issues.

Please note that ***local staff from our Core Donors -- DFID, SIDA, USAID, and the World Bank – should be invited to every dissemination***. It is recommended that partners do research to find out which officials in these organizations are appropriate to invite to each dissemination, but where necessary, the PMU may be able assist with getting names of appropriate individuals to invite.

##### ***9.3.1.1 Audience Targets for Events 1 and 2:***

- At least one journalist from each - national newspaper, radio & television
- At least one senior editor of any national media
- At least two senior civil servants whose work directly relates to the study (e.g., government minister, member of parliament, local government council member, or high ranking staff of these government bodies)
- At least two other civil servants
- At least one party official (use the accepted presence of one to persuade the others)
- At least one parliamentary/local council advisor or staffer
- At least three NGO leaders
- At least one academic from a leading university

- At least one donor representative, including representatives from all AB Core Donors with offices in country

### **9.3.2 Event 3 (and Event 4 with Option 4.1)**

During the third release event where the first Afrobarometer dispatch will be released, NPs are asked to empanel a chairperson or moderator, as well as one or two discussants or commenters who will react to the findings. The panelists may be from any background – e.g., policy makers, policy activists, NGO people or academics – but they should be a diverse group and they should all have a *policy*-related interest in the data. They can be drawn from among the stakeholders, but this is not essential.

This panel approach can be especially helpful in cases where the NP is not well placed to deal with political audiences or has reasons to be anxious about being considered the sole purveyor of the implications of the survey findings. In these cases, a more neutral figure like a prominent academic or religious figure can be asked to chair the release session or even host it.

#### **9.3.2.1 Audience Targets for Event 3 (and Event 4, if Option 4.1 is selected):**

- At least one journalist from each - national newspaper, radio & television.
- At least one international journalist where available
- At least two senior editors of any national or international media
- At least four senior civil servants whose work directly relates to the topic of the dispatch
- At least four other civil servants
- At least two donor representatives
- At least two party officials (use the accepted presence of one to persuade the others)
- At least four parliamentary/local council advisors or staffers
- At least two academics from leading universities
- At least three NGO leaders

### **9.3.3 Event 4**

As noted, in round 6 NPs can choose from several options for the fourth release for the second *dispatch*. NPs may choose to hold a standard release event, in which case the guidance on Event #3 above should be followed. An NP may instead find an opportunity to present the findings at a national or international meeting or conference of policy makers or practitioners (e.g., AB findings have been presented at human rights conferences, a conference of local government authorities from around Africa, a conference of NGOs working on poverty in Southern Africa, etc.). If an opportunity like this arises, please discuss with the CP to confirm that it meets the requirement for the fourth event. Alternatively, NPs may set up a one or two private briefings with policy actors. For example, results on attitudes toward parliament and MPs might be presented in private presentations to each of the leading political parties, results on social service delivery might be presented to leading figures in the health or education ministries, or to a relevant parliamentary committee, or corruption findings might be shared and discussed in a closed-door session with an anti-corruption commission or task force. Again, please discuss the proposed alternatives with the CP.

If the NPs does not do a standard fourth release event with media present, then it is essential that they still distribute the *press releases, summary of results* and *dispatch* to media and to stakeholders electronically.

Note that the deliverables for the fourth event will be adjusted to accommodate the different alternatives. In all cases, they will include an Afrobarometer dispatch, the SOR, a press release, and a powerpoint presentation, as well as a brief description of the event or events. Where possible, they

will also include participants lists, and invitations (although a participants list may not be available when presenting at a conference or event sponsored by a third party).

#### **9.3.4 Donor Briefing**

All NPs are required to hold at least one targeted briefing for the donors/embassy community. The timing of this session is open to negotiation between the NP, the donor/embassy community, and the CP, although ideally it will occur within a maximum of 4 months after the completion of fieldwork. If results from the early stages of the release are of particular interest to this community, they may desire a briefing very early in the process. Alternatively, it may be worth waiting until all release documents – including *SORs*, and *dispatches* – have been produced, and hold this briefing in the third or fourth month after fieldwork is complete. It is expected that a specialized *donor powerpoint presentation* will be prepared for this event, although this will likely be drawn mostly or entirely from the powerpoints produced for other events (unless the donors request some special additional topics or analysis).

Representatives from Afrobarometer’s key Round 6 donors (especially DFID, SIDA, CIDA, USAID and the Mo Ibrahim Foundation) in your country are often willing to help coordinate and/or host such events. CPs and/or the PMU can help NPs to establish contact with these donors in-country offices if necessary. As noted, these donors should also *always* be invited to attend the public release events as well.

We note that Afrobarometer donors are increasingly becoming regular users of Afrobarometer results, and they can be very effective advocates on behalf of the AB, sometimes among audiences that may be most difficult for NPs to reach directly, including within parliaments and among mid- and senior-level government officials. But this potential resource has been underutilized in the past, with only sporadic contacts made with donor missions in some countries. This also means that donor missions have not had the opportunity to make full use of Afrobarometer resources.

During Round 6, we will seek to strengthen engagement with the representatives of Core Donors located in each country where we work. In fact, rather than waiting until release of results, we request that NPs contact AB’s core donors prior to the start of surveys to make them aware of our activities. Donor representatives may also be included in stakeholder workshops where appropriate. NPs should both hold special donor briefings and ensure that full sets of electronic copies of all release documents are shared with these agencies.

#### **9.3.5 Executive Briefing**

In the past, Afrobarometer has recommended that NPs, as a courtesy, offer an advance briefing to top policy makers in the executive and legislative branches. In Round 6, we recommend doing so, as it may draw executive attention to AB findings, but the decision to offer executive briefings is up to NPs. If an advance briefing is to be offered, it is recommended that the media/public briefing be scheduled first, and that the Executive then be informed that we are willing to offer an advance briefing at most 24 hours ahead of the media event. The advance briefing is intended as an opportunity to give the Executive fair opportunity to hear the findings and be prepared for the release, but not to give them the opportunity to either delay or pre-empt the public release. It is also at the NPs discretion whether such advance briefings are offered before all release events, or only one or some of the them.

## 9.4 Release Documents

### 9.4.1 Media briefings

Each event should include a powerpoint media briefing that include key background on the Afrobarometer, and key findings and summaries of data. In Round 6, the communication team will aim to help partners choose the best data for these presentations and organize the data in such a way that each part of the presentation makes an argument for policy change or at least policy-rethink. Please use the AB *media briefing powerpoint template* for preparing these presentations, as it already incorporates the AB logo and color scheme, and will provide guidance on content to be included, and how the document should be organized. In general slide shows should be limited to 25 or 30 slides for maximum impact.

### 9.4.2 Press releases

The press release should consist of just a few paragraphs that emphasize the most important highlights for the release, e.g., the information that would please people the most, prompt the most anger, or prompt action. Press releases should ideally be limited to just two pages, including a strong first line that focuses on a single finding, one paragraph of context, including the margin of error, and two sentences of explanation about Afrobarometer and the NP. Please use the AB *press release template* for preparing these documents, which already incorporates the AB logo, and will provide guidance on content to be included, and how the document should be organized.

### 9.4.3 Afrobarometer Dispatches

In Round 6, country bulletins are being replaced with a somewhat shorter and simpler document, the *Afrobarometer dispatch*. Dispatches are intended to generate debate and action by the policy community by focusing on results for which the need for action is implied. For example, rather than focus a result such as "the majority of Ghanaians prefer multiparty democracy" which does not prompt action, a dispatch might say: "one in five Ghanaians distrust both the party in power and the opposition." The first statement does not suggest a situation that needs fixing; the implication of the second one is that party leaders may want to re-examine their policies and priorities because there is an undercurrent of dissatisfaction. We do not want to report only negative results, but we do want to report the results in such a way that policy makers might be spurred to respond. It is highly recommended to show balance in the dispatch by showing what people think works, as well as what they think doesn't work. However, it is important to be direct about what isn't working.

Dispatches should thus be thematic, policy-oriented papers. Because they should be easily readable by decision makers and civil society leaders, they should be no more than approximately two pages of text, with as many additional pages as needed for the relevant charts (usually 6-10 pages in total). Dispatches should provide some discussion of context, and may look at trends over time or cross-country comparisons, or use crosstabs to explore findings. Each country team is required to produce two dispatches, one for the third, and one for the fourth release event. They will primarily use descriptive statistics (frequencies, cross-tabulations) for presenting and discussing the data on the policy issue of interest. They are aimed primarily at policy makers and policy advocates, including government officials, civil society organizations, and the media.

In general, each Afrobarometer dispatch should:

- focus on a specific topic of national importance and interest, for example, changing levels of lived poverty, or perceptions of corruption
- provide a graphic representation of the current findings in the country, as well as over time trends where available

- if possible, provide a graphic comparison of current attitudes in that country with the most recent cross national results from other Afrobarometer surveys)
- provide graphic comparisons of breakdowns of these attitudes by key demographic factors, like region or gender – remember to focus on breakdowns that are meaningful and that show significant differences
- describe these results and trends, and their possible social or political implications, in bullet points or short paragraphs
- emphasize findings that reveal problems or challenges, or suggest the need for action, but also note improvements and reveal success stories where they exist; the least interesting findings and reporting are those that say that there has been ‘no change’ or that ‘results are mixed’

Afrobarometer dispatches will be published on the Afrobarometer website.

Note that even after the release of the initial dispatches, National Investigators and National Partners are strongly encouraged to continue preparing additional dispatches on a steady basis, releasing them when the results may coincide with important events or policy debates within that country. NIs/NPs are also strongly encouraged to make full use of the data by using the dispatches as a basis to produce a thematic *Working Paper* from the results of each survey. Afrobarometer now pays writing incentives to partners who publish additional dispatches, policy papers or working papers beyond those required as part of the standard dissemination (see Section 8.4).

Please use the AB *dispatch template* for preparing these documents, as it already incorporates the AB logo and color scheme, and will provide guidance on content to be included, and how the document should be organized. In general slide shows should be limited to 25 or 30 slides for maximum impact.

#### **9.4.4 Summary of Results**

A summary of results (SOR) lists all survey questions and responses with the percentage results next to each response. It also provides the breakdown of results among key demographic groups, usually according to gender and urban-rural location (but province, race or other factors can also be used). The SOR will be prepared by the National Partner, although Core Partners or the Network Data Manager may assist in producing the tables for the SOR using SPSS Tables software that is not available to all partners. Please use the AB *SOR template* for preparing these documents, as it already incorporates the AB logo and color scheme, and will provide guidance on content to be included, and how the document should be organized. The template will also have the question texts available in a form that can easily be cut and paste into the tables document, and with indications of which question texts need to be indigenized for the SOR.

#### **9.4.5 Other AB Publications**

Afrobarometer’s new *Policy Papers* series, as well as the existing *Afrobarometer Working Papers* series, are described in Section 8.1.

### **9.5 Communications Pilot Projects**

In Round 6 we will fund a number of pilot projects aimed at testing new strategies for getting policy makers and policy-advocacy organizations to use Afrobarometer data. The Afrobarometer communication coordinators will assist interested NPs in identifying suitable approaches in their country, producing necessary reports or materials, and developing capacity-building coursework. These communications pilot projects would be in addition to the standard post-survey dissemination

protocol, and both the event expenses, as well as compensation for the time of NPs and others who participate will be funded via small contracts implemented separately from the standard survey contracts. *NPs who are interested in implementing additional communications activities in their countries through these communications pilot projects should contact their CP to express an interest.*

Some ideas for pilot projects include the following:

- Training/capacity building workshops for parliamentary, local council, or regional government officials
- A capacity building session on using data for policy advocacy with at least two or three NGOs
- A project with NGOs working on specific policy advocacy goals where the NP participates in developing plans for joint reports and for presenting data to policymakers. Preferably the NP will be involved in presentation as well.
- No fewer than three meetings with international, regional or local government officials focused on a specific problem. (For example, this year, one NP attended meetings with AfriGap, a UNDP project to consolidate and publicize data on African governance, and also attended quarterly meetings of the African Union's corruption committee).

NPs are also invited to make their own suggestions of communications pilot activities that they would like to implement in their country.

Contracts, including budgets, scopes of work and deliverables for these events, will be negotiated on a case-by-case basis.

## 9.6 Dissemination Reports

At the completion of the regular post-survey dissemination cycle, each NP must submit a Communications Report to the CP that includes all of the following information:

1. A report on each of the **five** release events (3 initial public release events, 4<sup>th</sup> event (whether public release, private meetings, or conference participation), and the donor meeting) that includes:
  - a. Type of audience(s)
  - b. Date
  - c. Location
  - d. Presenters/Facilitators
  - e. Handouts/publications distributed
  - f. Copy of invitation and confirmation emails or letters
  - g. Number of participants
  - h. Sign in sheets (if available) or list of participants and their organizations
  - i. Key topics discussed, issues raised
  - j. Audience evaluations (if applicable and available)

Note that the specific information to be provided for the 4<sup>th</sup> event will depend on which option was selected, but should adhere as closely as possible to the list above.

2. A listing of all coverage observed in local/national print media covering at least the first two weeks following each release event. The list should include:

- a. Title of publication
  - b. Date of publication
  - c. Title of story
  - d. Writer (if available)
  - e. A scanned electronic copy or photocopy of all newspaper articles should also be included in the report.
3. A listing of all coverage in local/national broadcast media, including news program coverage, interviews with members of the country team, talk show participation, etc. This list should include at minimum:
- a. Name and type (radio or television) of station
  - b. Date of broadcast
  - c. Nature of broadcast (news program, radio talk show, etc.)
  - d. NI participation, if any (e.g., interviews or talk shows)
4. Any other relevant feedback concerning the release of results and their impacts.

## Section 10: Monitoring and Evaluation

Monitoring and Evaluation (M&E) plays an important role within the Afrobarometer Network. It helps all partners to effectively track and assess the performance and impact of our work against benchmarks and targets and determine whether the Network is meeting its overall objectives. During R6, we hope to strengthen M&E efforts to identify possible deviations and steps necessary to remedy them, such as revising workplans and strategies to enable organizational learning and to facilitate future planning. To successfully fulfill our M&E goals, and to meet the increasingly demanding requirements of our donors for feedback and reporting of results and impacts, Afrobarometer developed a comprehensive Logical Framework Matrix which drives overall monitoring and evaluation of AB activities.

It is particularly important to note that both the Network, and our donors, are increasingly interested in monitoring not just what activities have been completed, but also what impact we are having on our target audiences. Are the findings of survey research gaining credibility among African policy makers, or among publics at large? How many of the key policy makers in various sectors in each country where AB is present are aware of the survey findings and how they might be used in their work? Are the findings being used to inform policy making, policy advocacy, program planning (e.g., civic education) or evaluation? Monitoring these types of impacts is far more challenging than the far simpler task of monitoring activities and outputs. The Network is thus engaged in an ongoing effort to develop better mechanisms for tracking impacts, especially with respect to policy visibility.

To be effective, the M&E officers need considerable input and cooperation from NIs/NPs/CPs. In R5 we trained our Core Partners on the components of the Afrobarometer M&E system and requirements. This to a large extent improved their ability to track the outputs, outcome and impact of the project including seeing M&E playing a critical role in their work. This capacity building will be extended to National Partners in R6. Future support for the Afrobarometer is likely to be highly dependent on the degree of success we achieve in tracking our activities and outputs, and how they are helping to shape the policy making and policy implementation arena in Africa. Coordination and cooperation with the M&E Officer to help achieve the goal of measuring the project's successes in a more complete and comprehensive way will help to ensure the future of the project throughout Round 6 and beyond.

### 10.1 Components of AB M&E

AB tracks and assesses all phases of AB activities including:

- Surveys
- Communications
- Capacity Building
- Scientific Analysis
- Network Management

We use a wide range of *tools*, *techniques* and specific *templates* to monitor and evaluate performance. These range from basic tracking of the survey deliverables provided by NPs (data sets, Fieldwork and Methodology Reports, Dissemination Reports, etc.), to gathering data on website use and conducting AB Policy Users Surveys and an internal evaluation of the project.

**Templates/Tools** that are designed to track the activities and efforts of National Partners, Core Partners and Support Units include:

- **Dissemination/Communication Event Report** – These track all AB related communication (dissemination) activities. This includes activities organized by AB as well as activities organized

by others where AB network members are invited to participate and make presentations using AB data.

- **Media Coverage Report**- Tracks all media coverage received by AB from our partner countries. During R4 we secured the services of an online media monitoring company (Meltwater) to help track global media coverage of the Afrobarometer. This service has been useful in augmenting information received from partners on media coverage and will be continued in R6.
- **Information Request Report** - Tracks information requests received from various stakeholders by AB Network members. This may include requests for permission to use AB data or specific requests for assistance in utilizing AB Results.
- **CP Communication Log**-Tracks communication between Core and National Partners on various AB deliverables.
- **CP Activity and Travel Report**-Tracks all travel by network members for various activities including technical assistance, capacity building, conferences, etc. This report would be used by AB core partners only.
- **Report on AB website use**- Tracks AB website use
- **Online Data Analysis Facility Report** –Tracks AB online data facility use

## 10.2 Other M&E Activities

- **Policy User’s Survey Report** – These are based on findings of surveys that are administered to Policy Makers in selected countries to gauge knowledge and use of AB products. This survey was first piloted in Ghana during R4 in 2009 to an audience of policy decision makers, civil society leaders, media practitioners, academics and the donor community. In mid 2010 the survey was replicated in South Africa, Benin and Uganda. . During Round 6, several more AB Partner countries will be asked to conduct Policy Users Surveys in their respective countries.
- **Policy Conference** – Policy conferences are intended to attract policy makers from selected countries to draw lessons and discuss how the Afrobarometer can more effectively reach out to the policy community. A first Afrobarometer policy conference was held in 2010 at the end of R4. Afrobarometer hopes to hold a second policy conference during 2015 if sufficient funds are available.
- **Project Mid Term Assessment** – A midterm assessment of our project management processes to be undertaken early/mid 2014.
- **Project Evaluations** –Final assessment of the project to be undertaken in 2015

## 10.3 M&E Outputs

- **AB Deliverables Tracking Template**- Tracks key deliverables from AB partners. This template is used by the PMU.
- **ABCV**- Records AB output and achievements.
- **Afroglance**- A report which captures numerical indicators of AB outputs.

- **Indicator tracking template-** Tracks indicators developed for the AB project during Round 5. In Round 6 this document will be a critical component of reporting to donors.

### Input Reports

#### *From NPs*

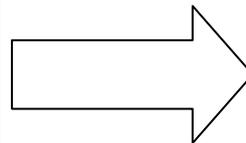
- Survey deliverables
- Dissemination & Media Coverage Reports
- Information Request Reports
- Ad hoc reports of references to AB, other AB presentations, etc.

#### *From CPs*

- Communications logs
- Policy Users Survey Reports
- Travel and TA logs

#### *From PMU/Support Units*

- BP and WP Tracking
- AB website and Online Data Analysis usage report
- Scholarly/Scientific Citations reports
- Capacity Building Reports



### Output Reports

- Deliverables Tracking Template
- AB CV
- Afrogance
- AB Log Framework Matrix

## 10.4 NP Role in M&E

Being both the eyes and ears of the Afrobarometer on the ground in the many countries where we work, NPs play a critical role in Afrobarometer’s M&E activities, and especially in helping the Network to make the case that it is achieving policy visibility. NPs do this through completing survey activities and providing the required deliverables discussed in previous sections of this report. In addition, NPs are requested to report on evidence that they see of “policy visibility” or “policy impact” by the Afrobarometer. This can include references to AB findings by politicians or government officials in speeches, press reports, or government documents, citations of AB findings in NGO reports or public statements, or requests for assistance from stakeholders in utilizing or interpreting AB findings.

## Section 11: Capacity Building

From its inception, one of Afrobarometer's core objectives has been to build the capacity for survey research among African researchers and research institutions so that they can produce scientifically reliable public opinion data and analysis. Since the first Round of surveys in 1999, the Afrobarometer's Capacity Building programme has evolved in order to accommodate the knowledge, skills and experience gained by Network Partners over time. And while most NPs now have a firm understanding of, and significant experience in, conducting field work and managing data, capacity in survey data analysis as well as the communication of survey data remains a work in progress. In fact, one particular goal of the capacity building program – and the Network as a whole – during Round 6, will be to increase the number of Afrobarometer publications being produced by NPs and CP staff.

One of the primary ways in which the Network conducts capacity building is through the provision of **Technical Assistance** during survey preparations and implementation. Core Partners evaluate NP skills and work with NPs to identify the primary needs for support, whether in sampling, training, fieldwork management, data management, or preparing for disseminations.

In addition, in order to build the capacity within the Network, the Afrobarometer runs a number of capacity building programmes that occur outside of the normal survey process. The flagship of these programmes are the Network's two **Afrobarometer Summer Schools** -- an Anglophone Summer School hosted at the University of Cape Town, and a Francophone Summer School hosted by IREEP in Cotonou, Benin).

Participants at both Summer Schools are trained in a wide range of subjects, with an emphasis on introductory and advanced statistics and their application to the analysis of Afrobarometer survey data on topics related to democracy and governance. During these one month in depth courses, participants gain the substantive knowledge and the analytical capacity to make use of the survey data and communicate their findings to audiences that include policy makers, international donors, media, civil society organizations and activists, and academics, as well as ordinary Africans..

During R6 the Network will also be holding several shorter (usually one week) **Technical Training Workshops** on selected topics. Topics will be identified in collaboration with CPs and NPs based on a needs identification exercise. Possible topics include questionnaire design, data management, sampling, and communications.

The Afrobarometer also awards **Afrobarometer Fellowships** to staff and partners in the Network. Fellowships can support a variety of individualized training opportunities, including: additional intensive and advanced statistics training (for example, at the ICPSR or ISR summer programs at the University of Michigan in the US); training courses on substantive topics covered by the Afrobarometer (e.g., the International Politics Summer School at Oxford); or "writing sabbaticals" at UCT or elsewhere that enable recipients to collaborate with colleagues on analysis and finalize of briefs and working papers.

The Network also sets aside funds for **Mentoring Exchanges**, which provide travel funds to enable one-on-one collaborations between network members to complete specific tasks, such as collaborations on bulletin writing or data analysis.

As noted, it is a key goal for Round 6 to increase the number of publications produced by NPs, as well as CP staff. In addition to providing training, mentoring and fellowship support that can enhance the capacity of network members to produce publications, the network also launched, late in R5, a program of writing incentives. For publications that are produced by network members that are in addition to those required by survey contracts, cash awards will be made, as described in Section 8.4.

The Afrobarometer Capacity Building Manager will keep partners apprised of capacity building opportunities as they become available, including timing, requirements and qualifications, and how to apply. The CB manager will also welcome recommendations for additional capacity building opportunities that partners may be aware of.

One important change for Round 6 in the capacity building program is that the Network will increase its expectations regarding the outputs produced by those who have the chance to participate in trainings. For example, it has always been a core goal of the Summer Schools that they result in publishable briefs and bulletins. However, to date, this goal has not been realized. One side of addressing this gap is to increase the availability of training and writing opportunities and mentoring support, and to provide writing incentives. Another side, however, is to add the requirement that current recipients of fellowships and training opportunities will only have access to future capacity building opportunities if they produce expected outputs. The Capacity Building manager will therefore track the outputs of each participant in Summer Schools and Fellowships in the hopes of ensuring that everyone who has the opportunity to participate in these activities fulfills the intended goals of the training.

## Appendix 1: Afrobarometer Round 6 Network Partners

### National Partners

Algeria	TBD	
Botswana	Mogopodi Lekorwe Lucky Mokgatlhe	Dept. of Political and Administrative Studies, University of Botswana
Burkina Faso	Augustine Loada	Center for Democratic Governance (CDG)
Burundi	Christophe Sibubundi Alain Ndikumana	Groupe de Recherche et d'Appui au Développement des Initiatives Démocratiques (GRADIS)
Cameroon	Henri T. Ngoa Henri A. Ondo	Centre d'Etudes et de Recherche en Economie et Gestion (CEREG), Université de Yaounde II
Cape Verde	Francisco Rodrigues Jose Semedo Deolinda Reis	Afro-Sondagem
Cote d'Ivoire	Michel Silwé Lasme Esso	Centre de Recherche et de Formation sur le Développement Intégré (CREFDI)
Egypt	TBD	
Ethiopia	Mulu Teka	ABCON Consulting House
Guinea	Aliou Barry	DG Stat View International
Lesotho	Lipholo Makhetha Libuseng Malephane Mamochake Chale	Advision Lesotho
Liberia	TBD	
Madagascar	Desire Razafindrazaka Laetitia Razafimamonjy Ihangy Rakotomalalala	COEFF-Resources
Malawi	Maxton Tsoka Blessings Chinsinga	Center for Social Research, Chancellor College
Mali	Massa Coulibaly	Groupe de Recherche en Economie Appliquée et Théorique (GREAT)
Mauritius	Louis Amédée Darga Gilles Daniel Joomun Abdool Shariff Mungralee	StraConsult
Morocco	TBD	
Mozambique	TBD	
Namibia	Bill Lindeke Andrew Niikondo Lizl Stolman	Institute for Public Policy Research (IPPR)  Survey Warehouse

Niger	Adamou Moumouni	Laboratoire d'Etudes et de Recherches sur les Dynamiques Sociales et le Développement Local (LASDEL)
Nigeria	Innocent Chukwuma Eban Ebai Daniel Nengak Raphael Mbaegbu	CLEEN-Foundation
	Taofeeq Akinremi Moses Shola	Practical Sampling International (PSI)
Senegal	Babaly Sall Ibrahim Gaye Fatou Diop Mohamadou Sall	Groupe d'Etudes et de Recherches Genre et Sociétés, L'Universite Gaston Berger de Saint Louis
Sierra Leone	Mariam Deen-Swarray Mahmoud A. Idriss	ITASCAP
	Ibrahim Sesay Monica Timbo	SLCGG
	Lena Thompson	Forabay College
South Africa	Washeelah Kalapery	Citizens Surveys
South Sudan	Eliaba Yona Damunda Aisha Jore Ali	Samahi Research
Sudan	TBD	
Swaziland	Edward Okoth Vimbai Tsododo	ActivQuest Precise Research
Tanzania	Rose Aiko Samuel Wangwe	Research on Poverty Alleviation (REPOA)
Togo	Moussa P. Blimpo Ezéchiél Djallo	Centre de Recherche et de Sondage d'Opinions (CROP)
Tunisia	TBD	
Uganda	TBD	
Zambia	Stephen Tembo Fison Mujenja	RuralNet
Zimbabwe	Eldred Masunungure	Mass Public Opinion Institute

### **Project Management Unit**

CDD, Ghana

E. Gyimah-Boadi	AB Executive Director
Aba Kittoe	Operations Manger / Project Management
Paula Park	Operations Manager / Communications
Boniface Dulani	Operations Manager / Fieldwork
Sharon Parku	Monitoring and Evaluation
Major Ashifie	Project Accounting

	Dorothy Anum-Larsey Isaac Asare	Executive Assistant Communications/M&E Assistant
<b>Core Partners</b>		
CDD, Ghana	Daniel Armah Attoh  Kakra Adu	Project Manager  Data Manager
IJR, South Africa	Jan Hofmeyr Anyway Ndapwadza Rorisang Lekalake Renee Choto Margot Newman	Core Partner Project Director Project Manager Assistant Project Manager Finance Director Administrative Assistant
IREEP, Benin	Leonard Wantchekon Richard Houessou André Guéguéhoun Gerard Guedegbe Victor Daye Nestor Odjoumani Hyacinthe Boko	Core Partner Director Project Manager Assistant Project Manager Communications Officer Data Manager M&E Officer Finance Director
IDS, Kenya	Winnie Mitullah Paul Kamau Abel Oyuke Samuel Balongo Anthony Wafula Evaline Mongare	Core Partner Director Co-National Investigator Project Manager Assistant Project Manager Communications Officer Finance Manager
<b>Support Units</b>		
Michigan State University	Michael Bratton Carolyn Logan Sarah Gardner	AB Senior Advisor AB Deputy Director Administrative Assistant
University of Cape Town	Robert Mattes Samantha Richmond Elizabeth Welsh Carmen Alpin Jamy Felton Thomas Isbell	University of Cape Town Operations Manager / Capacity Building Executive Assistant Network Data Manager Data Quality Officer Data Clerk
<b>Other</b>		
Hatchile Consult	Francis Kibirige	Network Sampling Specialist

## Appendix 2: Sample Afrobarometer Round 6 Letter of Agreement

[Note: The Letter of Agreement will normally be accompanied by a Contract or Purchase Order from the Core Partner that may contain additional stipulations.]

This letter records the terms of an agreement between the Core Partner on behalf of Afrobarometer, and the National Partner. Hereafter the Core Partner is .....**Name**..... and the Implementing Partner is..... **Name**.....

1. The Core Partner wishes to conduct an Afrobarometer survey of a nationally representative sample of the adult population of [**Country**] (**n=1200 or n=2400**) during 2014. The purpose of the survey is to produce a data set and public reports on public attitudes and behavior with respect to political, economic and social issues in order to inform democracy, economic and other development programs. The project is funded by a consortium of donors that includes, DFID, the Mo Ibrahim Foundation, SIDA, USAID and the World Bank.
2. According to the final proposed budget submitted by the National Partner, we agree that the National Partner conducts an Afrobarometer survey in [**Country**] according to terms detailed in:
  - a. The final country budget, dated [**dd.mmm.yyyy**]
  - b. The Afrobarometer Round 6 Survey Manual. This Manual specifies Afrobarometer procedures for:
    - Sampling
    - Survey Planning
    - Fieldworker Training
    - Fieldwork Supervision
    - Data Entry and Management
    - Data Analysis and Reporting
    - Communications
    - Research Ethics (including Human Subjects Requirements)
    - Expenditure Reporting
3. The following requirements are highlighted for special attention.
  - a. No funded activities, such as sample drawing or fieldwork training, will occur until the Core Partner has notified the National Partner that the required funds are available.
  - b. The National Partner agrees to draw a nationally representative sample in accordance with sampling protocols specified in the Afrobarometer Round 6 Survey Manual, Section 5.
  - c. The National Partner will set up a joint meeting between themselves, an Afrobarometer representative from the Core Partner, and a representative from the National Census Bureau before the sample is drawn.
  - d. The final National Sample must be approved by the Core Partner.
  - e. The National Partner agrees to administer a questionnaire provided by the Core Partner and to consult the Core Partner if it wishes to propose question or response changes of any kind.
  - f. The indigenized questionnaire must be approved by the Core Partner.
  - g. All local language translations of the questionnaire will be done following the translation protocol described in Section 4.4 of the Survey Manual.
  - h. The National Partner will recruit a team of qualified and experienced Fieldworkers and Field Supervisors and will deploy them to the field with thorough practical

- training (at least five days for Fieldworkers) and motivation (adequate pay and allowances).
- i. Fieldworker and Field Supervisor Training shall be conducted according to the guidelines laid out in Section 6 of the Survey Manual.
  - j. Fieldwork should commence immediately following Fieldworker training.
  - k. Under no circumstances should Fieldworkers be deployed without adequate insurance coverage.
  - l. The National Partner will enter responses into a data template provided by the Core Partner and indigenized by the National Partner, and will do so using SPSS Data Entry Builder unless use of other software is approved by the Core Partner and the Network Data Manager. A minimum of 25 percent of questionnaires will be double-entered to ensure data quality.
  - m. The final data set will contain no more than a 1 percent error rate if the data set is checked against a random sample of original questionnaires. There should be no invalid (e.g. “out of range”), mis-labeled or “system missing” (e.g. blank boxes) values in the final cleaned data set. And the data set must meet all rules of internal consistency (e.g., the correct use of “not applicable” options).
  - n. The National Partner agrees to consult closely with the Core Partner on all stages of project implementation from sampling to report preparation and dissemination.
  - o. Under no circumstances will the National Partner publish or distribute Briefings or other documents under the Afrobarometer name without the approval of the Core Partner.
  - p. The National Investigator shall personally be present at all events where results are released unless other arrangements are approved by the Core Partner.
  - q. The National Partner will organize a closed briefing for the donor/embassy/international community, facilitated, if possible, by an Afrobarometer Core Donor.
4. The National Partner will deliver the following products, in English or French:
- a. A work plan and timetable for survey implementation.
  - b. An indigenized questionnaire, and copies of all final local language translations.
  - c. A sample, including a list of randomly selected primary sampling units.
  - d. A Sampling Report as described in the Survey Manual (Section 5.8).
  - e. A Fieldwork and Methodology Report as described in the Survey Manual (Section 6.7).
  - f. A clean data set in SPSS.sav format, based on the template provided by the Core Partner. Data files in any other format are not acceptable. The data set should meet all of the quality standards described in the Survey Manual (Section 7.2).
  - g. A double entered data set containing a minimum of 100 cases.
  - h. Copies of 25 questionnaires, randomly selected by the Network Data Manager, to be sent to the Network data manager either electronically or in hard copy.
  - i. A Summary of Results that presents frequency counts and percentages for every question (see Survey Manual, Section 7.2).
  - j. A minimum of three powerpoint Media briefings, one Afrobarometer Dispatch and three Press Releases from the first three release events.
  - k. From the fourth release event, an Afrobarometer Dispatch, powerpoint presentation, and Press Release (minimum),
  - l. From the fifth (donor) release, a donor powerpoint presentation. A Dissemination Report as described in the Survey Manual (see Section 9.6).
  - m. A completed Survey Technical Report Form (see Appendix 12).
  - n. A Report on the Donor Briefing (may be included as part of the dissemination report)
  - o. An auditable Final Financial Report that compares planned and actual expenditures. Template for this report will be provided by your Core Partner.

5. The National Partner will abide by the timetable in the country survey schedule attached to the contract.
6. The National Partner will provide all services and deliverables for a fixed price of **...agreed upon budget total.....** US dollars. Under no circumstances can the Core Partner pay more than this amount. In general, the Core Partner expects the National Partner to abide by the structure of the final revised budget attached to the contract. Because Donor, Afrobarometer or Core Partner representatives may wish to conduct financial reviews or audits, receipts and other supporting documents for all expenditure must be kept on file by the National Partner for three years following the end of the project.
7. The Core Partner will make payment in four tranches upon receiving the required deliverables.
  - a. The first payment of [**\$xxxxx** – approximately 10%] will be made upon signing of the contract and receipt of the following deliverables.
    - i. Project workplan and timetable
    - ii. An invoice with payment details.
  - b. The second payment of [**\$xxxxxx** – approximately 50%] will be made upon receipt of the following deliverables:
    - i. Approved sample
    - ii. An approved indigenized questionnaire and copies of properly translated local language questionnaire
    - iii. A final schedule and program for the Fieldworker Training Workshop
    - iv. A complete set of route plans for each survey team
    - v. An invoice with payment details
  - c. The third payment of [**\$xxxxxxx** – approximately 30%] will be made upon receipt of the following deliverables:
    - i. A clean data set approved by the Core Partner
    - ii. A double entered data set containing at least 100 cases
    - iii. Copies of a minimum of 25 randomly selected (by the Network Data Manager) questionnaire, sent to the NDM either electronically or in hard copy
    - iv. Final copies of all local language translations of the questionnaire
    - v. A final Sampling Report, including details of all EA substitutions
    - vi. A Fieldwork and Methodology report
    - vii. An invoice with payment details
  - d. The fourth payment of [**\$xxxxx** – approximately 10%] will be made upon receipt of all of the remaining deliverables, including:
    - i. A Summary of Results the follows the Afrobarometer template and has been approved by the Core Partner
    - ii. A minimum of three Media Briefings, one Afrobarometer Dispatch, and three Press Releases from the first three release events, approved by the Core Partner
    - iii. A minimum of an Afrobarometer Dispatch, a powerpoint presentation and one Press Release (minimum) from the fourth release event
    - iv. A donor powerpoint presentation from the fifth release event.
    - v. A Dissemination Report
    - vi. A Donor Briefing Report (may be included as part of the dissemination report)
    - vii. A completed Survey Technical Information Form [see Appendix 12]
    - viii. An auditable Final Financial Report
    - ix. An invoice with payment details

8. The Core Partner will attach financial penalties for late delivery of a final clean data set or for holding **release events more than 6 months after the completion of fieldwork**. The penalty for delivery of the final data set more than 6 weeks after the end of fieldwork will be 1 percent per week of the third tranche. The penalty for holding release events beyond the six month window will be 10 percent per week of the fourth tranche.
9. The Core Partner must provide feedback to the National Partner on any draft deliverable submitted within one week of receipt. The Core Partner will pay special regard to reviewing data sets and briefs in a timely way. In any case where the Core Partner takes longer than one week to provide feedback on the data set or draft briefs, the final delivery dates for the data set or release events after which penalties apply (as noted in the Clause 8 above) will be extended by an equivalent amount. Note, however, that lack of response from the Core Partner within one week does not constitute approval of a deliverable. All final deliverables must meet Afrobarometer quality standards as determined by the Core Partner.
10. The Core Partner shall make payments to the National Partner within two weeks of receipt of all approved final deliverables required for each payment. That is, the payment should be shown to depart the Core Partner’s account within two weeks – Core Partners cannot be responsible for the time taken by recipient banks to make the funds available to National Partner’s accounts. Any delays beyond two weeks that negatively affect the National Partner’s ability to meet the deadlines for avoiding penalties will again result in extension of the deadlines by an equivalent amount.
11. The mechanism for effecting this agreement is a Fixed Price Contract between the Core Partner and the Implementing Partner.

Two copies of this letter of agreement and contract are enclosed. The Implementing Partner is requested to sign one copy of each and to return both to the Core Partner.

We look forward to working with you.

Yours sincerely,

.....  
**Name**, Core Partner Director, Afrobarometer  
**Telephone**  
**email**

.....  
Date:

**Certification:**

I have read the above letter of agreement and accept its terms.

.....  
**Name**, National Partner Director  
**Telephone:**  
**Email:**

.....  
Date:

### Appendix 3: Schedule of Survey Activities

Activity	Planned Schedule		Actual Schedule	
	Begin	End	Begin	End
1. 1 <sup>st</sup> Draft budget received by Core partner				
2. Final budget approved by Core Partner				
3. Contract/country agreement signed (Core Partner & NI Institution)				
4. Indigenized questionnaire submitted to Core Partner				
5. Indigenized questionnaire approved by Core Partner				
6. Local language translations submitted to Core Partner				
7. Sample and draft Sampling Report submitted to Core Partner				
8. Sample approved by Core Partner				
<b>9. First Payment (approx. 60%)</b>				
10. Core Partner provides data entry template (if necessary)				
11. Fieldworker training				
12. Local language translations submitted				
13. Fieldwork				
14. Data entry				
15. Draft data set provided to Core Partner				
16. Core Partner provides comments on draft data set (within one week or receipt)				
17. Clean data set provided to Core Partner				
18. Core Partner approves clean data set				
19. Fieldwork and Methodology Report submitted to Core Partner				
20. Final Sampling Report submitted to Core Partner				
21. Summary of Results submitted to Core Partner				
<b>22. Second Payment (approx. 30%)</b>				
23. Draft Country Bulletins submitted to Core Partner				
24. Comments on Country Bulletins provided by Core Partner (within one week)				
25. Final Country Bulletins submitted to Core Partner				
26. Country Bulletins approved by Core Partner				
27. Release of results				
28. Dissemination Report submitted to Core Partner				
29. Survey Technical Information form submitted to Core Partner				
30. Final Financial/Expenditure Report submitted to Core Partner				
31. Core Partner final approval of all deliverables				
<b>32. Final Payment (approx. 10%)</b>				

## Appendix 4: Survey Planning Checklist

### Personnel

- Recruit country team composed of:
  - a. Translators - all languages that are at least 5% of the national population
  - b. Sampler - organize access to latest electronic census data and draw a new sample for each survey
  - c. Field Teams - team structure must be 1 Supervisor for 4 Fieldworkers; number of teams determined by the EAs to be covered and the number of survey languages.
  - d. Data manager and data entry clerks

### Questionnaire Preparation

- Indigenize questionnaire (see checklist, Section 4.3)
- Develop country-specific questions
- Obtain Core Partner approval of final national language questionnaire
- Translate questionnaires according to AB protocol (see Section 4.4)
- Pre-test questionnaire during Fieldworker Training

### Sampling

- Secure access to adequate sampling frame (usually a national census, updated if necessary)
- Secure support of trained sampling specialist
- Draw sample according to guidelines in Section 5
- Submit sample to Core Partner for approval
- Gather maps for all selected EAs
- Select Sample Start Point in each EA
- Prepare Sampling Report, including information on all EA substitutions that occur both before and during fieldwork

### Fieldworker Training

- Organize venue and meals/refreshment
- Print practice questionnaires in national and local languages
- Arrange locations and transport for field practice
- Conduct training of Fieldworkers and Field Supervisors as outlined in Section 6
- Conduct practice/pre-test interviews, including by NI and Country Team members
- De-brief after field practice
- Make final refinements of local language questionnaires
- Evaluate each participant on quality of interview technique and quality of questionnaire completion
- Select final Field Supervisors and Field Workers and assign Field Teams
- Have all Fieldworkers and Field Supervisors sign contracts

### Fieldwork

- Obtain individual accident/health/death insurance for all project personnel in the field for the duration of fieldwork
- Obtain necessary clearances
- Provide Field Supervisors with letter of introduction
- Provide badges to all Field Workers
- Print questionnaires, enough for all Respondents in national language, and enough local language copies for Fieldworkers to carry all that are necessary (but each individual should only carry those for languages they speak fluently)
- Make route plans for all the teams based on EAs selected in Samples
- Build field kit for each team (clip boards, number cards, pens, stapler, other necessary office supplies, bags, questionnaires, torches, umbrellas, maps, etc.)
- Arrange public and/or hired transport for each team (check on vehicle insurance coverage)
- Pre-arrange Field Team accommodation where necessary
- Provide funds for field expenses to Field Supervisors
- Arrange daily contact schedule and logistics between Field Supervisors and Country Team

- Schedule Country Team trips to field to check on Field Teams
- Make arrangements for delivery of returns to Headquarters on regular basis
- Conduct fieldwork debriefing with all Field Teams when fieldwork is complete
- Prepare Fieldwork and Methodology Report

### **Data entry**

- Hire computers and load software, if necessary
- Have data entry staff attend Fieldworker Training
- Data entry staff trained with practice questionnaires from Fieldworker Training – do quality checks, catch problems early!
- Double entry of at least 25% of questionnaires, starting on first day of data entry for quality control
- Final double entry check of at least 25 questionnaires to determine data entry error rate
- Run frequencies on all variables to check for missing, out of range, or mislabeled values; correct as necessary
- Run cross-tabs on linked questions (see Section 4.6.2 and Appendix 10) and clean as necessary
- Submit cleaned data set to Core Partner
- After data set is approved, prepare Summary of Results

## Appendix 5: PPS\* Sampling Made Simple (\*Probability Proportionate to Population Size)

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Please use the PPS method when randomly choosing PSUs (primary sampling units). PPS enables us to make sure that every person in the population has an equal chance of being included in the sample, even though individuals live in the areas of varying population sizes.

Take an example with arbitrary data. Let us suppose that the East Region of Country X contains 5 PSUs whose total population of 15,000 is distributed according to the table below. Note that we must know the population distribution, preferably from up-to-date census figures or projections. We can then create a cumulative list of PSU populations, as in the third column.

PSU No.	Population	Cumulative Population
1	2000	1-2000
2	3500	2001-5500
3	1000	5501-6500
4	6300	6501-12800
5	2200	12801-15000

Let us begin by drawing just one sample PSU out of five. We want PSU 1 to have twice the probability of selection as PSU 3. And we want to be sure that PSU 4 is 6.3 times more likely to be included in the sample than PSU 3, and so on. We therefore do not sample randomly from the list of PSU numbers in the first column (1-5) because this would give each PSU an equal probability of selection regardless of its population size.

Instead we sample randomly from the cumulative population list in the third column (1-15,000) in order to adjust the probability of selection proportionally to each PSU's size. (You will notice that the cumulative population list is essentially akin to headcount of individuals and that a random sample from this gives each **person** an equal chance of selection, which is what we want).

The random selection is made using a table of random numbers. Starting anywhere in the table, read through the table in some systematic fashion (either across rows or down columns, but not both). You are looking for the first random number that occurs in the table that is between 00001 and 15000 (which is the cumulative population range). You ignore all numbers that fall outside the sequence. You read down column one until you reach, say, 09362. Since this number falls between 6501 and 12800, the random selection points to PSU 4.

In practice, the sample may require you to choose two PSUs for the East Region. To choose an *n*th area, divide the total cumulative population by the number (*n*) of areas you require. For two PSUs, divide 15,000 by two, which gives you a sampling interval of 7500. Add 7500 to your original random number (9362) to find the next area. Since 16862 exceeds the total cumulative population, cycle around to the top of the cumulative population list again to arrive at 1862 (16862 minus 15000). This number falls within PSU 1. Thus the second area sampled is PSU 1.

If you had to pick three areas for the East Region, you would establish a smaller sampling interval by dividing the total cumulative population (15,000) by three (=5000). Then the second area would be PSU 5, and the third district would be PSU 2. Easy, No?

## Appendix 6: Research Ethics Agreement

Every member of the Country Team should sign this form, including Fieldworkers, Field Supervisors, Senior Field Supervisors, Data Entry Clerks, Data Manager, National Investigator, and any others who participate in collection, processing or analysis of the data.

I, (WRITE NAME IN SPACE) \_\_\_\_\_, HEREBY AGREE TO MAINTAIN THE *CONFIDENTIALITY* OF THE RESPONDENTS INTERVIEWED IN THE *AFROBAROMETER* SURVEY. I WILL NOT DISCUSS THE CONTENTS OF THE INTERVIEW NOR DIVULGE THE NAMES OF THE RESPONDENTS TO ANYONE OUTSIDE OF THE PROJECT.

IN ADDITION, I HAVE HEARD AN EXPLANATION OF THE PRINCIPLE OF *INFORMED CONSENT* AS IT APPLIES TO RESPONDENTS IN SURVEY RESEARCH STUDIES. I AGREE TO ADHERE TO THE STANDARDS OF ETHICAL CONDUCT REQUIRED BY THE REQUIREMENT OF INFORMED CONSENT.

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

## **Appendix 6 (continued): Informed Consent**

(Source: *UCRIHS Handbook*, University Committee on Research Involving Human Subjects, Michigan State University)

The requirement to provide the opportunity for Informed Consent in research involving human subjects is based on the principle of respect for persons. Respect for persons requires that subjects, to the degree they are capable, be given the opportunity to choose what shall or shall not happen to them.

The issue of informed consent in research involving human subjects was brought forcefully to public attention with the revelation of abuses in biomedical experiments conducted on prisoners in Nazi concentration camps during World War II. The International Military Tribunal that tried Nazi physicians for these experiments developed the Nuremberg Code. This was the first internationally recognized document to deal explicitly with the issue of informed consent and experimentation on human subjects. The first principle of the Nuremberg Code states:

The voluntary consent of the human subject is absolutely essential. This means that the person involved should have the legal capacity to give consent; should be so situated as to be able to exercise free power of choice without the intervention of any element of force, fraud, deceit, duress, over reaching, or other ulterior form of constraint or coercion; and should have sufficient knowledge and comprehension of the elements of the subject matter involved as to enable him to make an understanding and enlightened decision. This latter element requires that before the acceptance of an affirmative decision by the experimental subject there should be made known to him the nature, duration, and purpose of the experiment; the method and means by which it is to be conducted; all inconveniences and hazards reasonably to be expected; and the effects upon his health or person which may possibly come from his participation in the experiment.

The Nuremberg Code laid the foundation for later codes intended to assure that research involving human subjects is carried out in an ethical manner. Consequently, informed consent means that subjects should understand the nature of the research, and should be able to knowledgeably and voluntarily decide whether or not to participate in the proposed research. This assurance protects all the parties involved in the research - the subject, whose autonomy is respected, and the investigator, whose intent to conduct research ethically is recorded.

### **General Requirements**

According to the general requirements for informed consent, an investigator may not involve a human being as a subject in research unless the investigator has obtained "the legally effective informed consent of the subject or the subject's legally authorized representative." Informed consent must provide the subject, or the subject's representative, with the opportunity to consider whether or not to participate in the study. This means that the subject's, or the representative's, decision whether or not to participate must not be coerced or unduly influenced. Information about the research and its risks and benefits included in the informed consent document should be presented in language understandable to the subject and/or the representative. Informed consent, whether written or verbal, may not include any exculpatory language through which the subject or the representative is made to waive, or appears to waive, any of the subject's legal rights, or releases or appears to release the investigator, the sponsor, the institution or its agents from liability for negligence.

## **Considerations for Informed Consent**

### ***Process***

The investigator has a legal and ethical obligation to ensure that prospective subjects are clearly informed of and comprehend the elements of informed consent. Informed consent should be obtained by using a simple statement written in language that will be easily understood by the prospective subjects. Informed consent should be thought of as an educational process that takes place between the investigator and the prospective subject. In the process of obtaining informed consent, each element of consent should be carefully, patiently, and simply explained to the perspective subject. To ensure that the subject will be able to make an informed decision about whether to participate (particularly in instances where research involves significant risk, or prospective subjects are likely to have difficulty understanding the procedures that will involve them), investigators may want to periodically assess the prospective subject's understanding of informed consent by asking questions.

### ***Documentation***

Documentation of informed consent usually involves the use of a written consent form. The consent form should include a brief summary of the proposed research and provide the prospective subject with enough information to make an informed decision about whether or not to participate. The consent form must be signed by the subject. A copy of the consent form must be given to the subject as a reference and a reminder of information reviewed. The consent form, however, does not by itself constitute informed consent. The consent form should be used as a tool by which the investigator explains and discusses the research procedures with the subject, allowing the subject ample opportunity to ask questions.

While informed consent is usually written, occasionally it may be obtained verbally in situations in which written consent is deemed culturally disrespectful or inappropriate.

## **Basic Elements of Informed Consent**

The following information must be provided to each subject:

A statement that the study involves research, an explanation of the purposes of the research and the expected duration of the subject's participation, and a description of the procedures to be followed.

A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained.

A statement that participation is voluntary, that refusal to participate will involve no penalty.

The approximate number of subjects involved in the study.

## Appendix 7: Sample Fieldworker Letter of Appointment

Dear Sir / Madam:

This letter confirms your appointment as a Fieldworker on the Afrobarometer Public Opinion Survey conducted by [RFS], the [Namibian] National Partner of the Afrobarometer Network. Your appointment is for a period of 21 days to be worked in the period 2nd May to 22nd May, 2008. Your payment will be calculated on a daily basis at a rate of 30 US dollars per day. Your assignment is to provide the following research services:

- 1) Participate in a six day Fieldwork Training workshop prior to May 2<sup>nd</sup> (no salary is paid during the training workshop);
- 2) Travel with a survey team to a field location anywhere in the country as assigned by RFS;
- 3) Participate in administering the survey questionnaire and administer at least four questionnaires per day; and
- 4) Following completion of the survey, participate in a survey team debriefing session.

For these services, you will be paid a total fee of 630 dollars for up 21 days. A payment equivalent to 14 days of work will be paid out after the submission of all completed questionnaires. The remainder will be paid after satisfactory checks of accurate and reliable data collection. Unethical behavior will be penalized.

You will be eligible for small expense allowances, including a daily travel allowance (for work in the city) and additional pocket monies (e.g., for drinks, laundry and snacks) while in the field. During fieldwork, your transport, lodging and food costs will be paid directly by REPOA. No additional per diem or travel expenses will be paid to you. During training, you will be responsible for providing your own meals and accommodation. Although you will get short-term insurance accident cover for the duration of the actual fieldwork, neither REPOA nor the Afrobarometer are liable for medical costs incurred while you are working on the project.

Please indicate your acceptance of these terms by signing below.

Yours Sincerely,

(National Investigator)

.....  
[Name]  
[Organization]

I accept employment on the conditions outlined above.

**Fieldworker Name:**

**Signature:**

**Date:**

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## Appendix 8: Field Supervisors Expense Report

### Round 6 Afrobarometer Survey in [COUNTRY], 2014

Field Supervisors: Use this form to RECORD and REPORT ALL expenditures for your TEAM. Your main expenditures will be for lodging and fuel. A receipt from the service provider MUST verify every purchase.

**NOTE:**

- \* Keep travel advance funds safe and secure at all times
- \* Record ALL transactions on the table below
- \* **OBTAIN RECEIPTS FOR ALL EXPENDITURES**
- \* When returning the completed report, ALL RECEIPTS MUST BE STAPLED TOGETHER AND PLACED IN AN ENVELOPE THAT MUST BE SUBMITTED TO THE NATIONAL INVESTIGATOR.
- \* **Date Format should be DD-MTH-YYYY. E.g. 01-Jan-2014**

DATE	PLACE	PURPOSE	VENDOR	AMOUNT	BALANCE
		<b>Travel Advance</b>			XXX.xx
		<b>TOTAL EXPENSES</b>	(Add Amount column)	XXX.xx	
		<b>UNSPENT FUNDS</b> (Use this Row if Supervisor Owes Afrobarometer)	(Subtract Total Expenses from Travel Advance)		XXX.xx
		<b>OVERSPENT FUNDS</b> (Use this Row if Afrobarometer Owes Supervisor)	(Subtract Total Expenses from Travel Advance)		XXX.xx

I have returned all unspent funds to RFS. **I agree that any expenditure that is not accompanied by a receipt may be deducted from my fees.**

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix 9: Basic Data Cleaning

### 1. Invalid/Out-of-Range Values

Rule: No out of range or undefined values are allowed in the final data set.

Variables: Check entire data set.

Special focus on: RESPNO (Respondent ID); DATEINTR (Date of Interview); Q1 (Age)

- **Running a Frequency Analysis.**

Analyze

Descriptive Statistics

Frequencies

Select the variables you want to check

- **Finding a case with an invalid value**

➤ **Method 1: Find command**

Edit

Find (Ctrl+F)

Put the value you're looking for into the "Find what" dialogue box

Find Next

➤ **Method 2: Sort command**

Data

Sort Cases

Choose a variable or variables

Ok

- **Recoding values**

➤ **Method 1: Recode command**

Transform

Recode

Into Same Variables....

Choose a variable

Old and New Values

Put Old value & New value

Add

Continue

OK

➤ **Method 2: Manual recode (after sorting)**

➔ Sort values in a variable

After sorting values as described above, manually change incorrect values to correct values.

NOTE: Always rerun your frequency analysis after recoding to make sure that the process was completed properly, and to check Value Labels.

### 2. Handling Missing Data

Rule: No *missing system* values should appear anywhere in the data set. Missing data should always be recorded as -1 = missing.

Variables: Applies to entire data set.

- How to find System-missing (.)  
➔ Run a Frequency Table Analysis

- How to transform System Missing into Missing data

Transform

*Recode*

*Into Same Variables....*

Select a variable or variables (for this recode operation, you can do many variables at once)

*Old and New Values*

Select *System-missing* on the left hand side and put “-1” into the *New value* box on the right hand side.

*Add*

*Continue*

*OK*

Sorting values and recoding them one by one is another way, but it can be very time-consuming.

NOTE: After recoding, **always** rerun frequencies to ensure correct results and check Value Labels.

### 3. Transforming String Variables to Numeric Variables

Variable: REGION (Province or region)

#### ➤ Method 1: Manual recode

*Run the Frequency Analysis*

Assign a numeric value to each String value (i.e., using country-specific codes)

Insert a new numeric variable after the string variable

*Data*

*Insert variable*

Give the new variable a name and a definition as a numeric variable with a width of 3.

*Sort cases by* [select the String variable]

Insert the assigned numeric code into the new Numeric Variable column next to the first instance of each variable. Copy the code in the new column after all cases with the same string variable (e.g., province)

Create new value labels for the Numeric Variable

#### ➤ Method 2: Recode command

*Transform*

*Recode*

*Into Different Variables....*

Choose a variable (e.g., Province)

Assign a name and label to the new Numeric Variable then click “*Change*”

*Old and New Values*

For each value of the string variable, type the string name in the “Value” box on the left.

Put the new code in the “Value” box on the right

*Add*

*Continue*

*OK*

Note: After creating a the new Numeric Variable, ensure that it is correctly created by running the frequency and by running a Crosstab Analysis between the old and new variable

*Analyze*

*Descriptive statistics*

*Crosstab*

Insert the old string variable for the row, and the new numeric variable for the column (or vice-versa).

*OK*

The new numeric codes and the old string values should match exactly.

## Appendix 10: Advanced Data Cleaning for Round 6 Rules and Linkages

### Two Methods of Identifying Errors

- Method 1 (most common): Running a *Crosstabs Analysis*  
In SPSS dialogue box: *Analyze*  
*Descriptive Statistics*  
*Crosstabs*
- Method 2: *Sorting variables*

### Two Methods for Correcting Errors

- Method 1: Recoding via SPSS dialogue box
- Method 2: Manual change after sorting

### Rule 1: Nocall\_1-Nocall\_7

These rules require that after any household for which "reason for unsuccessful call" is answered by 9997=not applicable, all subsequent households must also be 9997=not applicable.

**Recommended identification method:** Sorting variables – Sort by all 7 variables, Nocall\_1-Nocall\_7, to find errors.

**Correction rule:** After the first time 9997 appears for a case, any value other than 9997 should be recoded to 997.

**Recommended correction method:** Either method can work well; manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

### Rule 2: Gender 1 (thisint \* Q101)

This rule checks the relation between thisint and Q101. If thisint is 1, Q101 should be 1, and if thisint is 2, then Q101 must be 2.

**Recommended identification method:** Crosstab Analysis

**Correction rule:** If there are any cases where the two variables do not have the same value, you must **check the questionnaire** to see which gender is correct for that case (e.g., look at the list of names of household members filled in by the interviewer: did they write men's names or women's), and recode either thisint or Q101 accordingly.

**Recommended correction method:** Manual change after sorting

- Move variable Q101 next to variable thisint
- Sort by the two variables (thisint and Q101) to find those cases with a mismatch.
- Manually recode the incorrect values.

### Rule 3: Gender 2 (prevint \* thisint)

This rule checks the relation between prevint and thisint. If prevint is 1, then thisint should be 2, and if prevint is 2, then thisint should be 1.

**Recommended identification method:** Crosstab Analysis

**Correction rule:** You should have already cleaned thisint according to the Gender1 rule, so we assume that whenever there is a mismatch, thisint is correct and prevint is wrong, so corrections should be made to prevint.

**Recommended correction method:** Manual change after sorting

### Rule 4: Q8F \* Q\*A-E

This rule checks that if all responses to Q8a-e = 0, 1 or 9, then Q8F must be 7 (Not applicable). Conversely, Q8F should equal 7 only if Q8a-e = 0, 1 or 9.

**Recommended identification method:** Sorting variables – Sort by all 5 variables, Q8A, Q8B, Q8C, Q8D and Q8E, to find errors.

**Correction rule:** we assume that whenever there is a mismatch, values at Q8A-E are correct and Q8F is wrong, so corrections should be made to Q8F (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and Manual Recode method.

#### **Rule 5: Q25A and Q25B \* Q24A-F**

This rule checks that if all responses to Q24A-F = 0 or 9, then Q25A and Q25B must be 7 (Not applicable). Conversely, Q25A and Q25B should equal 7 only if all responses to Q24A-F=0 or 9.

**Recommended identification method:** Sorting variables – Sort by all 6 variables, Q24A, Q24B, Q24C, Q24D and Q24E, to find errors.

**Correction rule:** we assume that whenever there is a mismatch, values at Q24A-E are correct and Q25A or Q25B is wrong, so corrections should be made to Q25 (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and Manual Recode method.

#### **Rule 6: Q29E, F, G**

These rules check that if Q29E= 0 or 9999, then Q29F must be 9996, and that if Q29F = 9996, then Q29G must be 9996. There must be no 9996 in Q29E, and no 0 or 9999 in Q29F or Q29G.

**Recommended identification method:** Either crosstabs or sorting will work.

#### **Correction rules:**

- Always save substantive responses (i.e., responses other than “nothing/democracy has no meaning” “don’t know”, “refused”, or “no further answer”); if a substantive response appears after a non-substantive response, the substantive response should be moved forward (e.g., from q29f to q29e) to replace the non-substantive response.
- The only non-substantive response that should appear in q29f and q29g is 9996=No further reply, so any other non-substantive response (0, 9999, -1) on q29f or q29g should be recoded to 9996.

**Recommended correction method:** If there are substantive responses that need to be moved forward, you must use the Sort and Manual Recode method.

#### **Rule 7: Q55B**

This rule checks that if Q55A= 7, then Q55B must be 7. Conversely, Q55B should equal 7 only if Q55A= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55A are correct and Q55B is wrong, so corrections should be made to Q55B (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

#### **Rule 8: Q55D**

This rule checks that if Q55C= 7, then Q55D must be 7. Conversely, Q55D should equal 7 only if Q55C= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55C are correct and Q55D is wrong, so corrections should be made to Q55D (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

**Rule 9: Q55F**

This rule checks that if Q55E= 7, then Q55F must be 7. Conversely, Q55F should equal 7 only if Q55E= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55E are correct and Q55F is wrong, so corrections should be made to Q55F (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

**Rule 10: Q55H**

This rule checks that if Q55G= 7, then Q55H must be 7. Conversely, Q55H should equal 7 only if Q55G= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55G are correct and Q55H is wrong, so corrections should be made to Q55H (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

**Rule 11: Q55J**

This rule checks that if Q55I= 7, then Q55J must be 7. Conversely, Q55J should equal 7 only if Q55I= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55I are correct and Q55J is wrong, so corrections should be made to Q55J (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

**Rule 12: Q55L**

This rule checks that if Q55K= 7, then Q55L must be 7. Conversely, Q55L should equal 7 only if Q55K= 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55K are correct and Q55L is wrong, so corrections should be made to Q55L (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

**Rule 13: Q56**

This rule checks that if ALL responses to Q55B, D, F, H, J and L =0, 9 or 7, then Q56 must be 7. Conversely, Q56 should equal 7 only if ALL responses to Q55B, D, F, H, J and L =0, 9 or 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q55 are correct and Q56 is wrong, so corrections should be made to Q56 (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding

- Move variable Q56 next to variable Q55B, D, F, H, J or L
- Sort by the two variables to find those cases with a mismatch.
- Manually recode the incorrect values.

#### **Rule 14: Q57A**

This rule checks that if responses to Q56 =0, 9 or 7, then Q57A must be 7. Conversely, Q57A should equal 7 only if Q56 =0, 9 or 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q56 are correct and Q57A is wrong, so corrections should be made to Q57A (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding.

#### **Rule 15: Q57B**

This rule checks that if responses to Q56 =0, 9 or 7, then Q57B must be 7. Conversely, Q57B should equal 7 only if Q56 =0, 9 or 7.

**Recommended identification method:** Either crosstabs or sorting.

**Correction rule:** we assume that whenever there is a mismatch, values at Q56 are correct and Q57B is wrong, so corrections should be made to Q57B (replacing incorrect values with missing values (-1) or not applicable values (7) as appropriate).

**Recommended correction method:** Sort and manual recoding.

#### **Rule 16: Q60pt 1, 2, 3**

These rules check that if Q60pt1 = 0 or 9999, then Q60pt2 must be 9996, and that if Q60pt2 = 9996, then Q60pt3 must be 9996. There must be no 9996 in Q60pt1, and no 0 or 9999 in Q60pt2 or Q60pt3.

**Recommended identification method:** Either crosstabs or sorting will work.

**Correction rules:**

- Always save substantive responses (i.e., responses other than “nothing/no problems,” “don’t know,” “refused”, or “no further answer”); if a substantive response appears after a non-substantive response, the substantive response should be moved forward (e.g., from pt2 to pt1) to replace the non-substantive response.
- The only non-substantive response that should appear in pt2 and pt3 is 996=No further answer, so any other non-substantive response (0, 9999, -1) on pt2 or pt3 should be recoded to 9996.

**Recommended correction method:** If there are substantive responses that need to be moved forward, you must use the Sort and Manual Recode method. For other changes (e.g., recode of 9999 or -1 to 9996), SPSS recoding protocols can be used (although manual method also works).

### **Rule 17: Q61A**

This rule checks if Q60pt1=9999 or 0, then Q61A must be 7 (i.e. not applicable). Conversely, Q61A should equal 7 only if Q60pt 1=9999 or 0.

**Recommended identification method:** Sorting variables. First sort by Q60pt1 followed by Q61A to make sure code 7 is always used on Q61A when it should be. Then sort by Q61A followed by Q60pt1 to make sure that code 7 is only used when it should be.

**Correction rule:** Correction should always be made to Q61A.

- If Q60pt1 is either 0 or 9999, recode Q61A to 7.
- If Q61=7 when it should not (i.e., Q60pt1 is neither 0 nor 9999), then Q61A must be recoded to –1=missing.

**Recommended correction method:** Sorting and manual recoding can be used.

### **Rule 18: Q61B**

This rule checks if Q60pt1=9999 or 0, then Q61B must be 7 (i.e. not applicable). Conversely, Q61B should equal 7 only if Q60pt 1=9999 or 0.

**Recommended identification method:** Sorting variables. First sort by Q60pt1 followed by Q61B to make sure code 7 is always used on Q61B when it should be. Then sort by Q61B followed by Q60pt1 to make sure that code 7 is only used when it should be.

**Correction rule:** Correction should always be made to Q61B.

- If Q60pt1 is either 0 or 9999, recode Q61B to 7.
- If Q61=7 when it should not (i.e., Q60pt1 is neither 0 nor 9999), then Q61B must be recoded to –1=missing.

**Recommended correction method:** Sorting and manual recoding can be used.

### **Rule 19: Q73A – Q73E**

These rules check that either ALL parts of the Q73A - Q73E should be coded as 7 (No experience with courts), or NONE of the parts should be coded as 7.

**Recommended identification method:** Sorting variables – Sort by all 4 variables, Q73B – Q73E, to find errors.

**Correction rule:** After the first time 7 appears for a case, any value other than 7 should be recoded to 7.

**Recommended correction method:** Either method can work well; manual recoding is easy if the errors are relatively few. If they are numerous, it will be easier to use the SPSS recoding protocols.

### **Rule 20: Q74A and Q74B**

These rules check that if Q74A = 0 or 9999, then Q74B must be 9996. There must be no 9996 in Q74A, and no 0 or 9999 in Q74B.

**Recommended identification method:** Either crosstabs or sorting will work.

**Correction rules:**

- Always save substantive responses (i.e., responses other than “most people do take cases to court”, “don’t know”, “refused”, or “no further answer”); if a substantive response appears after a non-substantive response, the substantive response should be moved forward (e.g., from Q74B to Q74A) to replace the non-substantive response.
- The only non-substantive response that should appear in Q74B is 9996=No further answer, so any other non-substantive response (0, 9999, -1) on Q74B should be recoded to 9996.

**Recommended correction method:** If there are substantive responses that need to be moved forward, you must use the Sort and Manual Recode method. For other changes (e.g., recode of 9999 or –1 to 9996), SPSS recoding protocols can be used (although manual method also works).

### **Rule 21: Q87 – Q88A and Q88B**

These rules check that if no group identity is identified in Q87 – that is, response is 9990, 9998, or 9999 – then Q88A and Q88B should all be coded as 7 (i.e. not applicable). Conversely, Q88A and Q88B should only be coded as 7(not applicable) if the response to Q87 = 9990 (Ghanaian only), 9998 (refused) or 9999 (don't know).

**Recommended identification method:** Crosstabs (although sorting will also work).

**Correction rule:** Do not make changes to Q87. Only make changes to Q88A or Q88B.

- If Q87 = 9990, 9998 or 9999 and any of the other question do not equal 7, they should be recoded to 7.
- If any of the other questions are coded as 7 and Q87 does not equal 9990, 9998 or 9999, then the 7 must be recoded to a -1=missing.

**Recommended correction method:** Either sorting, manual recodes, or SPSS recoding protocol will work.

### **Rule 22: Q90A – Q90B**

These rules check that if Q90A = 0 (no party), 8 (refused), or 9 (don't know), then Q90B must be 997. Conversely, Q90B should equal 997 only if Q90A = 0, 8 or 9.

**Recommended identification method:** Crosstabs are preferred, but sorting also works.

**Correction rule:** If a substantive response has been given in Q90B (i.e., a party is identified), then we would like to preserve this response even if there is a mismatch with Q90A. Corrections may therefore be made to either Q90A or Q90B according to the following rules:

Corrections should first be made in the relationship between Q90A and Q90B as follows:

- If Q90A=0, 8 or 9 and Q90B has a substantive response (i.e., a party is identified), then recode Q90A to 1 = yes.
- If Q90A=0, 8 or 9 and Q90B is coded as 9998 or 9999, then recode Q90B to 9997.
- If Q90B is coded as = 9997 but Q90A does not equal 0, 8 or 9, then Q90B must be recoded to -1=missing.

**Recommended correction method:** SPSS recoding protocols work well for this, but sorting and manual recoding can also be used.

### **Rule 23: Q111 – Q112**

Each interviewer's name (Q111) should have a unique interviewer's number (Q112).

**Recommended identification method:** Crosstab (though sorting will work).

**Correction rule:** We can assume that the interviewers name is correct, so corrections should be made to any cases with an incorrect interviewer number (data managers should have access to the master list of interviewer names and numbers).

**Recommended correction method:** Either sorting and manual recoding or SPSS recoding protocol will work.

### **Rule 24: Q112 – Q113, 114, 115, 116, 117**

Each interviewer's number should have only one value in his or her age (Q113), gender (Q114), rural or urban home (Q115), home language (Q116), and the level of education (Q117).

**Recommended identification method:** Crosstab (though sorting will work).

**Correction rule:** Once the interviewer number and name have been linked correctly (previous rule), the interviewer number should not be changed. Corrections should be made to other interviewer data (age, education, language, urban/rural) that are incorrect. It will usually be obvious what the correct age, etc. is (i.e., for a given interviewer, most cases will have the correct age, while just a few are wrong, so it is obvious what the correct age should be).

**Recommended correction method:** Sorting (by interviewer id, followed by each of the other interviewer variables) and manual recoding may be easiest, although SPSS recoding protocols can also be used.

## Appendix 11: Presenting Afrobarometer Results

**Descriptive statistics will be presented as whole numbers.**

- Percentage distributions of responses will always appear without decimal places.
- Only where greater precision can be legitimately inferred (e.g. when averaging scores on responses coded from 0 to 10) will decimal points be displayed.
- When joining response categories (e.g. “satisfied” = “fairly satisfied” + “very satisfied”), the raw numbers will be added *before* rounding to a whole number.
- Descriptive statistics (e.g. frequencies and cross-tabulations) should be calculated with “don’t knows” and “refusals” included.

**Data will be weighted before any descriptive statistics are reported** for individual countries.

- For individual countries, the weighting variables will be turned on in SPSS (to correct for any gender or regional biases in the data sets) before frequencies or cross-tabulation calculations are made.
- Weighted data must also be used for describing the attributes of sub-national groups within each country, except for the sub-national groups for which the weight was created.

**To calculate mean scores for several (up to 12) Afrobarometer countries, we refer to weighted data.**

- In this case, the level of analysis is the country.
- To calculate a mean score for all countries in the Afrobarometer sample (signified AFROMEAN in our cross-country tables), we use an average of country aggregate scores. AFROMEAN treats every country sample as if it were the same size (n=1200). In SPSS, it is activated by turning on the COMBINWT variable in merged data sets.
- Note: do NOT use the multi-country average generated by the SPSS cross tabulation procedure since this contains variance in the sample sizes used in each country.

**Unweighted data will be used to analyze all relationships between variables within the data sets.**

- In this case, the level of analysis is the individual respondent.
- The WITHINWT and COMBINWT variables should be disabled in SPSS before analysis is conducted on either country data sets or merged, multi-country data sets.
- For example, weighting variables will be turned off before contingency, correlation or regression coefficients are calculated.
- These kinds of inferential statistics will be calculated on variables with “don’t knows” and “missing data” recoded or removed.

**Under exceptional circumstances, we may wish to calculate distributions of responses for “Africa”.**

- Note that this procedure requires the (unwarranted) assumption that our sample of countries represents the whole continent.
- Under these circumstances, we would wish to weight each country according to its relative population size, in this case by turning on the AFCOMBWT variable in merged data sets.

**When presenting a table of results, quote the exact question wording wherever possible.** For example, create a note to the table that reads “Percent saying...[then cite the language from the relevant item on the questionnaire].”

## Appendix 12: Sample Survey Technical Information Form



### Survey Overview The Quality of Democracy and Governance in [Country] Afrobarometer Round 6, 2014

<b>Dates of fieldwork:</b>	[List fieldwork Start date – end date]
<b>Sample size:</b>	[N=XXXX --- usually either 1200 or 2400]
<b>Sampling frame:</b>	[List year of census, year of projections, and who did census and provides projections, for example: 2008 population projections developed by Central Bureau of Statistics (CBS) based on 2002 Census]
<b>Sample universe:</b>	Citizens age 18 years or older, excluding institutions
<b>Sample design:</b>	Nationally representative, random, clustered, stratified, multistage area probability sample
<b>Stratification:</b>	[Identify main unit of stratification, e.g., Region / state / province / department] and urban-rural location
<b>Stages:</b>	Rural areas: SSUs (from strata), PSUs (two per SSU0, start points, households, respondents)  Urban areas: PSUs (from strata), start points, households, respondents  [NOTE: If NO SSU IS USED THEN SELECTION IS THE SAME IN BOTH RURAL AND URBAN AREAS, SO ONLY LIST: “PSUs (from strata), start points, households, respondents”]
<b>PSU selection:</b>	Probability proportionate to population size (PPPS)
<b>Cluster size:</b>	8 households per PSU
<b>Household selection:</b>	Randomly selected start points, followed by walk pattern using 5/10 interval [NOTE: IF HOUSEHOLD LIST IS USED TO SELECT HOUSEHOLDS CHANGE THIS ENTRY]
<b>Respondent selection:</b>	Gender quota filled by alternating interviews between men and women; respondents of appropriate gender listed, after which household member draws a numbered card to select individual.
<b>Weighting:</b>	Weighted to account for individual selection probabilities [and, if applicable, over- or under-sample in XXXX, with reason for oversample briefly stated]
<b>Margin of error:</b>	+/- 3% with 95% confidence level [OR +/- 2% for n=2400]
<b>Fieldwork by:</b>	[Name of NP/Fieldwork institution]
<b>Survey Languages: (official translations)</b>	[List of translation languages]
<b>Main researchers:</b>	[List of main researchers]
<b>Outcome rates:</b>	Contact rate: [to be provided by Data Management Unit] Cooperation rate: [to be provided by Data Management Unit] Refusal rate: [to be provided by Data Management Unit] Response rate: [to be provided by Data Management Unit]

**EA Substitution Rate:** X.X%

**Notes:** [Make any special notes here, e.g., regions that had to be excluded due to conflict, proximity of election or other unusual event to the dates of fieldwork, etc.]

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## Appendix 13: R6 AFROBAROMETER MEMORANDUM OF UNDERSTANDING

The Afrobarometer Round 6 MOU (below) was signed by representatives of each NP, CP and Support Unit at the R6 Planning Workshop in Cape Town, South Africa on 13 February 2014.

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### *Memorandum of Understanding Round 6 (2014-2015)*

#### **I. THE AFROBAROMETER**

The Afrobarometer (AB) is a comparative series of national public attitude surveys on democracy, governance and civil society in Africa. The Afrobarometer Network will cover up to 35 African countries in Round 6 (2014-2015). Run by a network of survey research institutions in Africa, the Afrobarometer is dedicated to three key objectives:

- To produce scientifically reliable data on public opinion in Africa
- To broadly disseminate and apply survey results
- To build African capacity for survey research

By surveying nationally representative samples of citizens in selected African countries, the Afrobarometer sheds light on the political attitudes, experiences and behaviors of citizens. The Afrobarometer tracks public support for political and economic regimes and documents the strategies ordinary people use to survive, participate and represent themselves. By inserting public opinion into the policy process, the Afrobarometer seeks to give voice to groups in society – including rural dwellers, the poor, women and ethnic minorities – that are often overlooked. In doing so, it aims to contribute to the strengthening of democracy, markets and pluralism within African countries and to help build social capital.

This Memorandum of Understanding sets out general principles and obligations to which all signatories commit themselves. Country Agreements and Contracts between Core Partners and National Partners set out legal requirements and may permit departures from these general principles only where special circumstances apply.

#### *Afrobarometer Network*

In association with National Partners in each participating country, the Afrobarometer is a joint entity of the Center for Democratic Development (CDD-Ghana), the Institute for Justice and Reconciliation (IJR), the Institute for Empirical Research in Political Economy (IREEP), and the Institute for Development Studies (IDS) at the University of Nairobi in Kenya, with technical support provided by Michigan State University (MSU) and the University of Cape Town (UCT). The Core Partners, National Partners and Support Units jointly comprise the Afrobarometer Network.

**Core Partners** provide overall direction and management to the project. They take primary responsibility for fund-raising, for planning and coordinating programs of work, for publishing Afrobarometer results, and for building capacity within the Network.

**National Partners** are the backbone of the Afrobarometer. They take the lead in either, directly managing surveys and data management; or in supervising Contractors that do data

collection on the Network's behalf. Furthermore, they are responsible for analyzing country results, preparing release documents, and spearheading their dissemination. They also play roles in data management and dissemination activities. In Round 6, the Afrobarometer will consist of up to 35 country partners from across the continent.

**Support Units** provide specialized services and technical support to the Network. Michigan State University has the responsibility for quality assurance of data and publications, as well as a shared role with CDD in Monitoring and Evaluation. In addition, MSU will host and manage the Afrobarometer website. UCT's responsibilities include, managing the Capacity Building and Data Management components of the Afrobarometer.

The Afrobarometer Executive Committee (ExCom) guides project management between meetings of the whole Network. The ExCom is composed of the Executive Director, the Deputy Director, one representative from each of the other Core Partners and Support Units, the Operations Managers for Fieldwork and PMU, and a National Partner representative.

The core of the Network is composed of individuals who sign the Memorandum of Understanding in their personal rather than institutional capacities. Letters of Agreement and Contracts for surveys, however, are legal documents, usually signed by representatives of partner institutions.

## II. GENERAL OBLIGATIONS

1. The name **Afrobarometer** shall only be used to refer to nationally representative surveys using agreed procedures, methods and standards in countries, by partners, and at times approved by the Afrobarometer Executive Committee.
2. All partners agree to adhere to Afrobarometer research and management standards as contained in the **Afrobarometer Round 6 Survey Manual**, as well as any other research protocols established by the Network. Deviations from standard Afrobarometer Protocols may only be made upon agreement with a Core Partner and/or the PMU, and if necessary, the approval of the Executive Committee.
3. All members agree that they will not raise funds, conduct any research, enter into new agreements or publish any documents under the name Afrobarometer without the express consent of the Core Partners.
4. All data are copyrighted and owned collectively by the Afrobarometer Network. Because the Afrobarometer is funded from public resources, its data are a public good. All data will eventually be released via the website and other outlets, along with relevant codebooks. But to allow initial in-house analysis and publication, data will not be published or released in a one-year period following the first release of any country survey results or set of country survey results.
5. During this one-year embargo period, no one should give the actual data set to anyone outside of the project with two exceptions:
  - a. Individuals working towards a co-authored publication with members of a National Country Team, in which case that publication should first be published as an Afrobarometer Working Paper or Briefing Paper.
  - b. Graduate students of Afrobarometer Network members, provided that the results will not be published before the end of the embargo period.

During this period, a Core Partner will keep a Register of everyone using the data.

6. After the end of the embargo period, National Partners will arrange to deposit data sets and codebooks with the National Archives (and/or other relevant depositories) in their own countries. MSU will post the released data sets and codebooks on the Afrobarometer website and with the International Consortium for Political and Social Research at the University of Michigan.
7. No document may be published by a partner with the Afrobarometer logo until it has been approved by a Core Partner.
8. No partner will publish or release any results from a country's data prior to planned release events.
9. No Afrobarometer Network member will publish results or analysis in a journal or book before they have first published it as an Afrobarometer Working Paper (preferably jointly authored with another Network member). Citations for all such publications will be sent to the PMU for recording in the AB CV.
10. All Partners agree to follow the highest research ethics standards, especially with respect to obtaining the informed consent of all survey respondents, and to preserving the confidentiality of the respondents, and adequately securing the questionnaires and the data. They will also ensure that every Fieldworker understands and signs a Research Ethics Agreement, and that the behavior of Fieldworkers in the field reflects well upon the Afrobarometer.
11. All Partners agree to do their best to meet their contractual obligations in timely way according to agreed schedules, and to maintain open lines of communication, and respond to queries and requests from Core Partners and the PMU in a timely way.
12. All Partners commit to providing regular updates on their own activities to the PMU. This includes all use of Afrobarometer results in publications, presentations or in other forums. Partners also commit to reporting any evidence of policy visibility or impact that they become aware of to the PMU, e.g., mention of or references to Afrobarometer in media, within government, NGOs or the academic community, in professional reports, etc.
13. All Partners will endeavor to promote the awareness and utilization of Afrobarometer data and results in their respective countries and regions at every opportunity.

### **III. ENTRY INTO EFFECT**

This Memorandum of Understanding shall enter into effect when it has been signed by a representative of each Core Partners and all participating National Partners. The Memorandum of Understanding shall expire automatically when the stipulated requirements have not been met. Core Partners or National Partners may terminate the Memorandum of Understanding one month after providing a written notice to the Network.