

Instruction Manual for Interviewers

Social Structure and Social Modernization Project

June 1996

(last revised 15 August 1998)

[xx THIS DOCUMENT HAS BEEN PARTLY EDITED BY TREIMAN, UP TO P. 75. THE EDITING NEEDS TO BE COMPLETED AN AMBIGUITIES RESOLVED (NOTED IN THE TEXT BY [xx COMMENT]). THIS WILL BE DONE AT UCLA, WITH SONG'S ASSISTANCE, BY CONSULTING THE CHINESE LANGUAGE INSTRUCTION MANUAL.]

[Note: comments enclosed in square brackets [...] have been added by Treiman to clarify the instructions or to point out post-field work changes.]

This manual includes four parts: "General Requirements is Part 1"; "Instructions for the Questionnaire" is Part 2; "How to Make a List of Households and Instructions for Coding" is Part 3; and the "Appendix" is Part 4. The subject of this survey is social structure and social modernization. Field work will be carried out by interviewing households according to the questionnaire. Interviewers must fully familiarize themselves with the questionnaire and read the instruction manual carefully before the research. They should carry out the research strictly according to the relevant requirements.

I. General Requirements

1. Interviewers must be patient, prepared for hardship, obedient to group leaders, and conscientious in completing their own work. They should also actively unite with and help other classmates.
2. Interviewers must conscientiously apply investigation methods learned before the survey to assure its success.
3. Interviewers must be honest, responsible, and observe professional ethics. Interviewers should not cheat.
4. Interviewers must respect respondents' will and must not offend them intentionally. Interviewers must also be gentle and polite in speaking as well as in behavior.
5. Interviewers must be neatly dressed. Slippers and odd clothing are forbidden in field work.

6. Interviewers must have an easy and natural manner in front of respondents and create a friendly interview atmosphere in order to make respondents feel at ease.
7. Interviewers must abide by principles of confidentiality. No information concerning respondents can be revealed to anyone not involved in the project. Make the respondents realize that their reputation and interests will be safeguarded by you.
8. Interviewers cannot sell any products or carry out any business activity irrelevant to the project during the interview.
9. Interviewers must bring with them their credentials such as I.D., interviewer's certificates, and letters of introduction, in order to win the confidence and cooperation of the work units concerned and the respondents.
10. Interviewers must try to keep a pleasant demeanor throughout and regard every interview as a new beginning. Interviewers should not ignore many things which must be paid attention to, such as tone, pronunciation, and speed of speaking. Remember: no respondent is familiar with you, and your interview is probably the first time for him/her.
11. The questionnaire is the outline of the interview. Questions will be put forward according to the questionnaire and answered by respondents. Then, interviewers shall record the answers on the questionnaire. Please note again: complete, detailed and accurate firsthand information must be obtained.
12. A questionnaire will be regarded void if an interviewer
 - (1) asks somebody else to do the interview without authorization.
 - (2) carries out the interview through phone without visiting the respondent (Please note: do not do so even a respondent asks).
 - (3) hands out the questionnaire to the respondent to fill out.
 - (4) selects respondents arbitrarily and not according to sampling requirements.
13. After the interview, interviewers must check the questionnaire to make sure all information needed has been collected. The contents of the check include whether all the questions have been asked, whether the answers have been recorded completely, accurately, and in detail, whether there are obvious discrepancies in the record, and whether the Record of Interview has been completed. Afterwards, interviewers shall begin to code.

14. Every interview team has a team leader, who is responsible for the first and second check of the questionnaire and should help group leaders to do the general check. The team leader should be earnest and conscientious to set an example.
15. Many double-check systems will be established in the survey and every respondent is subject to two double-checks. If an interviewer is found to be dishonest, he/she will not be able to get paid and will also be liable for compensation. Furthermore, necessary disciplinary measures will be taken according to circumstances.

II. Instructions for the questionnaire

- The instructions are divided into five parts.
- The problems that mentioned in the instructions must be solved according to the instructions. For new problems that are not covered by the instructions, the explanations of the teachers leading the team should be observed.

(I) Introduction to the questionnaire (Page 1 to Page 2)

(Page 1)

1. Questionnaire codes: Questionnaire codes should be entered into the code frames on the right.
2. Sample type code:
 - 1 urban general population sample
 - 2 urban elite sample
 - 3 rural general population sample
 - 4 rural elite sample

Note 1:

In rural areas, in addition to the required 30 valid questionnaires for each village, 4 more rural elite questionnaires should be completed, including questionnaires for 2 cadres at the village level and 2 heads of typical enterprises or individual business owners.

If a village is so poor that there is not a single enterprise or rich individual business owner, the questionnaire should be regarded as incomplete and only the cover of the questionnaire need to be filled out.

For the rural leaders questionnaires, the following should be noted:

First, two cadres at the village level can only be selected from the secretary and assistant secretary of the village Party branch or the chairman and vice chairman of the villager's committee. Neither their family members nor any other people are qualified.

Second, two management personnel in the economic sphere should be chosen from heads or managers of the industrial or commercial enterprises in the village (no matter whether they are local or non-local people). They should be interviewed in person and cannot be replaced by their family members. If a village has no industrial or commercial enterprises, retail store owners (including owners from other places), rich individual business owners, or household heads of the richest families in the village may be interviewed.

Note 2:

All the people interviewed in cities or towns should be regarded as part of the urban sample and all the people interviewed in the countryside should be regarded as part of the rural sample regardless of the respondent's or his/her family's *hukou* status.

Note 3:

For the floating population respondents, a respondent should be changed if the selected person is deaf, dumb, mentally ill, too old, or too young. However, the respondent should be replaced by another person from the floating population rather than from local residents. If a migrant household only consists of one person, interview that person. Otherwise, make a random sample in that household and select the respondent accordingly.

3. Interview location

d)____town/street committee (*danwei*) and e)____ residents' committee (neighborhood committee) should absolutely be filled out. In case of "not applicable," ascertain the area of the interview location and then enter the name of the area in the two blank spaces. For example, (Shandong Province, Heze Prefecture, Heze County) The First Geological Prospecting Team (*danwei*), the First Neighborhood Committee.

If the interview location is in Beijing or Shanghai, leave the space for "prefectural level city" blank.

(Page 2)

Household Table:

The definition of this table is “ all people that have lived at this address for over four months”.

If a housekeeper, a visiting relative or other person has lived in the interviewed household continuously for more than four months, he or she should be counted as a member of the household and should be entered into the sample table. If he or she is selected, his or her family should be investigated, rather than the interviewed household at that address.

If in the interviewed household, some family members are on business trips or leave home for a short period of time, they should also be entered into the table. If one of the above-mentioned people is selected, check whether he/she will be back soon. If that person will be back soon, go to interview that person after he/she comes back. Otherwise, remove that person from the table and randomly select another respondent from that same household table.

Record of Interview:

Reason not completed:

1. “Can't locate address" refers to addresses selected through sampling that do not exist any more.

Note: If not completed, give an explanation in the Record of Interview. Addresses may be changed only upon the approval of the team leader. After each substitution, fill out another Cover Sheet, write down the interview address and give it a code. If there is only one qualified respondent in the household and he/she has been out for a long time, record it as “the respondent is not at home” and code it as “09”. If a household has no qualified respondents, that is, it only consists of people who are dumb, deaf, mentally ill, too old, too young, etc., record it as “ no qualified respondent” and code it as “12”.

(II) General principles for completing the questionnaire

1. In every question, “a” refers to “(respondent) does not know”; “b” refers to “(respondent) refused”; “c” refers to “not applicable (to respondent)”. [Note: during the editing process, “a” was recoded to -1, “b” was recoded to -2, and “c” was recoded to -3.]

Detailed explanations are required if “c” is chosen.

“a”, “b” and “c” should not be entered as answers in questions where such choices are not shown on the questionnaire. An interviewer should repeat the question and get a confirmation before making a choice. [xx THIS SENTENCE IS UNCLEAR.]

When a question has “other” as a choice and such choice is chosen, detailed explanations are required.

2. Under no circumstances should the interviewer return to the Cover Page to fill out “reasons not completed” whenever an interview is incomplete. [xx THIS IS UNCLEAR. IS THE TRANSLATION CORRECT?]
3. “go to x” refers to going to the first question of x. For example, “go to B5, C3, G2” means “go to B5a, C3a, G2a”.
4. Questions in which time is not mentioned are asking about the current situation.
5. In Parts 3, 4, 5, 6, 7, when situations “in 1948 before liberation” are asked, they actually refer to the situations in the year just before liberation. Some places in China were liberated earlier, such as Dongbei and Shanbei. In such cases, don't be strict about “in 1948” and just ask the situations in the year just before liberation.
6. When asking “Which year were you born?”, record the year in the Christian era. [xx IS THE UNDERLINED PHRASE CORRECT?]

Note: Minguo (People's Republic of China) 1st year is 1912; Minguo 38th year is 1949.

Minguo year + 1911 = Year in the Christian era.

A table showing correspondences between age, year in the Christian era, and twelve animals year is shown in Appendix 1.

Here is a correspondence between dates specified by the year of the reign of the last few emperors in the Qing dynasty to dates in the Christian era:

Dao Guang: 1821-1850. The first year of Dao Guang is 1821, the second year is 1822, and so on.

Xie Feng: 1851-1861. The first year of Xie Feng is 1851, the second year is 1852, and so on.

Tong Zhi: 1862-1874. The first year of Tong Zhi is 1862, the second year is 1863, and so on.

Guang Xu: 1875-1908. The first year of Guang Xu is 1875, the second year is 1876, and so on.

Xuan Tong: 1909-1911. The first year of Xuan Tong is 1909, the second year is 1910. The third year is 1911, when the Xin Hai revolution erupted. 1912 became Minguo year one.

7. “Party” refers to the “Chinese Communist Party”.

“...ever join the party” includes all persons ever in the party—that is, both those who once joined the party and later left and those who remained in the party until the present time or until their death.

8. When asking about the year born, the year joined the party, etc. and there is an indication in the question that the respondent should be encouraged to provide an answer even if only an estimate, interviewers should ask again about the exact year in case a respondent gives an answer such as “in the 30’s” or “shortly after liberation”. If an exact year still can not be obtained, interviewers may select an intermediate year. For example, “in the 30’s” may be entered as “in 1935”.

9. “Work unit” (“*danwei*”) is defined by the official seal stamped on the work identity card. For example, the work identity card of a person who works in a very small unit in the Capital Steel & Iron Corporation may be stamped by the seal of Capital Steel & Iron Corporation. If a person’s work identity card bears the seal of one of its branch factories, that branch factory should be treated as that person’s work unit, even though that branch factory may be very big.

If a respondent has no work identity card or the seal on it is not recognizable, interviewers should help the respondent to identify his/her independent accounting unit. For example, the work unit of a peasant laborer in the construction industry is his construction team (or contract team) if that construction team (or contract team) is an independent accounting unit. If that construction team shares an independent accounting unit with another team, then the respondent’s work unit is the project or the construction company over the two teams.

Another example is a casual laborer in a very small privately-owned restaurant. His/her work unit is the restaurant even when that person is the only one working there other than the boss.

Such problem may occur in Column g, f of Table 2; A5a; Column g, f of Table 3; Column “work unit type” and “rank of work unit” in Table 4, 5, 9; F7; F8; G7; or G8.

10. For tables in the questionnaire, “same as above” may be filled in when the answers are exactly the same as the answers in the previous lines.

However, in Table 1 and Table 2, “same as above” can not appear in every column of a row, since that would mean the two rows are redundant.

Changes in any column should be written down clearly.

Only in Table 3, “Father’s Work History,” Table 4, “Mother’s Work History,” and Table 5, “Spouse’s Work History,” may “same as above” be written in the first column and the remaining columns left blank. That is, “same as above” is applicable to the whole row only in these three tables.

A code still should be entered when there is “same as above” and the code should be the same to one in the previous line. Particular attention on coding must be paid to the situation when “same as above” is applicable to the whole row. [xx THIS PARAGRAPH IS UNCLEAR AND SHOULD BE REWRITTEN.]

11. If a family member of the respondent is working outside of China, his/her occupation should still be identified and recorded. Then code it according to the *Chinese Standard Classification of Occupations* [shown here as Appendix B.1.].

(III) Some Important Questions Concerning the Questionnaire

1. Detailed recording of occupation

1. Generally, the occupation questions are asked twice. The first time it is an open question and should be recorded in characters and in detail. The second time it is a closed question and should be filled out by interviewers according to choices in Card 7 and the respondent’s answers to the first question. If nothing is unclear, interviewers need not to ask again.
2. When recording the answers for the open questions about occupation, looking through the *Occupational Classifications and Codes of China* is not allowed, because it will interfere with the interview’s progress and make the respondent impatient. Interviewers should be familiar with the *Occupational Classifications and Codes of China* before the interview. Interviewers should write down the response during the interview and code the response according to the *Occupational Classifications and Codes of China* after the interview.
3. The following principles should be observed when recording the occupation in detail.

First, make clear and record which category an occupation belongs to (nine categories altogether, plus category X), such as professional/technical personnel, ordinary office worker, etc.

Second, make clear and record which type under the category the occupation belongs to, such as scientific research personnel, teaching personnel.

Third, make clear and record the position/status of the occupation, for example, higher education teacher, middle education teacher.

Finally, make clear and record the work responsibilities of the job (choose the most important one), such as middle school Chinese teacher, brick layer.

4. The sequence for recording is occupation category, occupation position/status, occupation duties. For example,

teacher / higher middle school teacher / math teacher
teacher / special education teacher / teacher specializing in the education of mentally-retarded children
driver / bus driver / driver who drives between Beijing and Tianjin.
driver / small truck driver / driver who delivers fish from wholesale stores to hotels
technician / x-ray technician / x-ray technician in hospital
peasant / farm peasant / peasant who plants cotton

5. The more detailed, the better. But the most important step is to write down the details of an occupation such as the details at the far right side of the above-mentioned examples. The category of an occupation is not enough. Hence, a complete record about an occupation should at least include three phrases, that is “xxx/xxx/xxx”.
6. If a respondent only gives a general occupation category, interviewers should ask further about the occupation's position and duties. If a respondent is not clear about others' occupations (such as occupations of spouse, parents, grandfather, spouse's father), interviewers should prompt the respondent step-by-step in the order of category, position and duties. If a respondent can not give any further answer, record in the following way:

office personnel / don't know the detail
manual worker / don't know the detail
truck driver / don't know the detail

7. Note: some occupations may be easily confused with lines of business. Interviewers should fill in the answer according to the occupation. For example, the occupation of a respondent who repairs meters in a textile mill is meter repairer, not spinner. In other words, the occupation rather than the line of business should be written down when recording the details of an occupation.
8. As to some confusing occupations, special attention must be paid to details. Take "dispatcher" as an example. If a person is in a dispatcher's office, but not directly responsible for dispatching, while only responsible for some office chores, this person should be classified as office personnel. Another example is "manager". Make clear whether a person is a general manager, a department manager, or a small business manager.

9. When classifying and coding according to the *Occupational Classifications and Codes of China*, make sure to look at the original record and be clear about a respondent's specific occupational responsibilities. For example, "self-employed businessman" itself is not an occupation and an interviewer should make clear which specific line or trade a respondent is in. Another example is "cadre," which only represents a social status. Not all cadres can be classified as "heads of state institutions, party and mass organizations or enterprise and institutional units" or "administrative staff". Some so called cadres such as village accountants and librarians in state organizations should be classified as "financial and accounting personnel" and "librarian," respectively, and be coded accordingly. Moreover, every occupation that can be classified in a specific category should be so classified instead of being classified into the "other" category arbitrarily.
 10. When a respondent chooses "4" ("Operates an enterprise or self-employed") as the response to "Main source of income" (Card 5), then he/ she should be coded "12" ("Head of private enterprise") on the closed occupation question (Card 12) if he/she is a head of a privately-owned enterprise. If the respondent is a self-employed businessman, then classify and code his/her occupation according to the respondent's specific responsibilities of the job.
 11. For "Main source of income" (Card 5), if a respondent's self description is "handicraftsman", record in detail and assign code "0": "Manual worker (traditional craftsman)".
2. Regarding response 2 to Card 2 ("Continuing work after retirement"), so called "internal retirement" should also be treated as retirement. [xx I'VE MADE A MESS OF THIS; FIX.]

This situation may appear in many places of the questionnaire.

A person's work status after retirement or leaving office can be divided into three types:

- no longer working
- re-employed by one's former unit (then his/her "work unit type" and "work unit rank" remain unchanged and only the "position" is changed, unless he/she remains in the former position.)
- works in new unit or place or carries out some activities for payment regardless whether he/she is officially employed or not.

The summary is in the following table: [xx DISTINCTION BETWEEN COLS. 2 & 3?]

| Actual situation | Answer to Card 2 (Activities) | Answer to Card 3 (Work unit type) | Work unit |
|-------------------------------|----------------------------------|--------------------------------------|--|
| No longer works | 07, 08 | leave it blank | leave it blank |
| Re-employed by former unit | 02 | own salary | former unit |
| Does other paid activities | 02 | fill in answers accordingly | fill in new situation or not applicable |

Please also note: Any form of payment for retirement or leaving office should be counted as a person's income and salary [xx CLARIFY: PENSION OR RETIREMENT BONUS?]. Any payment after retirement because of being re-employed by former units or doing other paid activities should be treated as one's salary unless he/she is "operating an enterprise or doing self-employed business". So, when asking about a person's income, include payment from retirement and other jobs. (Such as in Question C7, D7, H8, H12, etc.)

The term "leaving office" is applicable only to people who retired after 60 and participated in the Revolution before 1949. All others "retire," regardless of occupation and position.

(IV) Main body of questionnaire

Part 1. Education history and activity history (from Page 3)

About Table 1

1. Principles for filling out Table 1 and relationship between Table 1 and Table 2.

Principle 1: If a respondent has been in school without interruption up to now (such as a university student), only Table 1 ("Education history") is applicable to the respondent, not Table 2 ("Activity history"). In this case, "99" should be entered in the column "Year ended" for the last completed line in Table 1.

Principle 2: If a respondent's schooling is ever interrupted or the respondent ever leaves school for other activities, both Table 1 and Table 2 must be completed.

For example, a respondent left school in 1955 when he was in fifth grade of elementary school; after three years at home he went back for sixth grade and graduated that year. His education up till 1955 and his education from 1958 to 1959 should be entered into two rows separately in

Table 1. His activities in the three years from 1955 to 1958 should be entered in Table 2 (“Activity history”). Moreover, his re-entering school from 1958 to 1959 should also be entered into Table 2. If he has other experiences of interrupting his studies or re-entering school later on, they should be recorded according to the above-mentioned method. In other words, when a respondent first discontinues his studies, no matter whether interrupting or graduating, and carries out some activity after leaving school, no matter whether staying at home, waiting for employment or being engaged in farming, his activities after leaving school begin from the year he discontinues school and should be entered into Table 2. If he re-enters school, such experience should also be treated as an activity in the activity history and be entered into Table 2.

2. Other questions concerning Table 1.

(1) People who get a college or university diploma through self-teaching and correspondence schooling should also be entered in Table 1. But in this case, “c”(“not applicable”) should be recorded in Column A (“Year began this school”) and Column B (“Year ended this school”).

(2) In response category “5” of “Rank of school attended,” “5 big” refers to broadcast, TV, and correspondence courses, and on-the-job, night, or factory colleges. However, those who got diplomas through self-teaching should not be regarded as going to school and should not be recorded. [xx WHAT CODE IS USED FOR THESE CASES?]

(3) Regarding “Major or specialization,” if it is hard to classify, interviewers may directly ask respondents to determine the best response category. If a respondent studied abroad, engaged in advanced studies or training abroad, or has been a visiting scholar abroad for more than four months, “c” (“not applicable”) should be coded and “study abroad” should be recorded. The interviewer should try to find a suitable choice in the classification of “Major or specialization.” [xx THE LAST TWO SENTENCES SEEM CONTRADICTIONARY. CLARIFICATION REQUIRED.]

(4) In the case of technical or vocational school sponsored by a factory, vocational school through correspondence, etc., code “7” (“Non-keypoint middle school”) should be used to code “Rank of school attended.” The criteria for judgement here is that if the prescribed course time of the school is two years or more, such schools should be regarded as middle schools regardless of whether or not the respondent graduated.

(5) For any form of advanced study or training, there are two ways of coding such cases if the time of advanced study or training is more than two years [xx MORE THAN TWO YEARS OR TWO YEARS OR MORE, TO BE CONSISTENT WITH (4)?]: First, if the advanced study or training has reached the level of certain school, fill out according to the rank of that school. Secondly, if the advanced study or training does not reach the level of middle school, “9, other school, advanced study or training” should be filled out. [xx REWRITE TO CLARIFY.]

About Table 2

1. Principles for filling out Table 2.

Principle 1: After the year when a respondent left school for the first time (no matter whether interrupting schooling or graduating), every activity (including re-entering the previous school, going to another school, or going to a higher school) should all be entered in Table 2 in order. Thus, in Table 2 all the years of activity should be continuous.

No matter how young a respondent was when he first left school, even if he did not reach age 10, all his subsequent activities, including additional schooling, should be entered into Table 2 in order.

Principle 2: If there is a change in any column of Table 2, the change should be treated as a new activity and recorded in a separate row. In other words, a change in any respect (activity type, income source, occupation, type of work unit, rank of work unit, position) should be treated as a separate activity and recorded in a new line. Please pay attention to inconspicuous changes, such as promotion from common worker to team leader, sick leave, or maternity leave for more than four months, etc.

Principle 3: If an activity exceeds four months but the beginning month and ending month are in the same year, the year the activity began and the year the activity ended should be the same in Table 2.

If a respondent engages in two activities in the same year and both activities exceed four months, including the case where a respondent receives two promotions in the same year, the two activities should be recorded separately with the same year shown for “year began the activity” and “year ended the activity” for both activities.

In Column “a” of Table 2 (“Year began the activity”), for peasants the year began farming should be recorded in the following way: 1. If a respondent ever went to school, his/her year began farming is the year he/she last graduated or left school midway. 2. If a respondent never went to school, his/her year began farming is the year he/she reached age 16.

2. The general principles for those who re-enter school after a period spent working are in the following table:

| Actual situation | “Year began the activity” in Table 2 | “Year ended the activity” |
|---|--------------------------------------|-----------------------------|
| Totally released from work without salary | the year re-entered school | the year stopped school |
| Totally released from work with salary | the year joined the work unit | the year left the work unit |
| All kinds of partial release from work | same as above | same as above |

In other words, if an individual went to school with salary during a spell of work, his experience of going to school should not be recorded separately and he should be regarded as still working in that work unit. For example, if a person was a worker in a factory from 1967 to 1981 and went to a university or a technical school with salary during the 1974-1977 period, his/her activity history should be recorded as “1967-1981, worker in a factory” in Table 2 and his activity of going to school in that period should not be recorded separately in Table 2.

However, that spell of schooling while remaining on salary in the factory should be recorded in Table 1, “Education History”.

(Explanations: “totally released from work” refers to doing nothing in the original work unit. “With salary” refers to the situation that the original work unit continues to pay a person’s salary after he re-enters school, regardless of whether or not a bonus is paid.)

3. Other questions in Table 2

(1) Interviewers tend to neglect the phenomenon that many migrants often return home for more than four months. Most migrants spend time looking for jobs, waiting for employment, and working as a casual laborer here and there when they just arrive at a place. Interviewers should pay particular attention to such situations and make careful inquiries to record all activities lasting more than four months. [xx “MORE THAN FOUR MONTHS” OR “FOUR MONTHS OR LONGER”? CLARIFICATION REQUIRED.]

(2) In Column “a” of Table 2 (“Year began the activity”), for peasants the year began farming should be recorded in the following way: 1. If a respondent ever went to school, his/her year began farming is the year he/she last graduated or left school midway. 2. If a respondent never went to school, his/her year began farming is the year he/she reached age 16. [xx THIS IS REDUNDANT WITH THE LAST PARAGRAPH OF 2. IS THE REDUNDANCY IN THE CHINESE VERSION AS WELL?]

(3) For Column “b” of Table 2, for peasants the year ended farming should be recorded in the following way: 1. The year in which a respondent got a job or began engaged in non-agricultural

activities may be regarded as the year when the respondent ended farming. 2. If a respondent has been a farmer all along and he is very old now, his year ended farming should be determined by himself. If he thinks that he is still engaged in farming, interviewers should enter “99” for “ongoing activity.”

(4) For respondents or their family members who are or once were cadres of village committees or residents’ committees (including secretary and assistant secretary of the Party branch, chairman and vice chairman of the committee, and village head), three situations may be applicable to their “main source of income”: 1. farming; 2. work points, stipend, etc., but no wage; 3. salary. Interviewers should record the main source of income according to the respondent’s opinion. However, their occupation category in the *Occupational Classifications and Codes of China* should always be coded as 222 “Leading cadres: party organizations at grass-roots level” or as 229 “Heads of residents’ (village) committees.” [xx HAVE I GOT THE CORRECT CATEGORIES? THE TRANSLATION IS FAIRLY DIFFERENT. HERE IS THE ORIGINAL TRANSLATION: “heads of basic-level organizations of the Chinese Communist Party (secretary and assistant secretary of the Party branch)” or “heads of village committee or residents’ committee (chairman and vice chairman or village head)”.]

For other personnel working in the villagers’ committee or the residents’ committee, their occupation should be recorded in detail and coded according to the *Occupational Classifications and Codes of China* if that is their major occupational activity. For example, accountants should be coded as 0-93, “Finance and accounting staff,” under the minor group “Economic personnel.” The branch secretary of the Communist Youth League and chairwoman of the Women’s Association should be coded as 2-23, “Leading cadres: youth leagues, unions, women’s organizations,” under the minor group “Leading cadres of party organizations.” The security chairman should be coded as 3-29, “Other staff for political and public security affairs,” under the minor group, “Political and public security staff.” General office workers should be classified as 3-19 “Other administrative staff,” under the minor group “Administrative staff.”

The village committee or the economic enterprise but not the whole village should be treated as the work unit for the village cadres paid a wage. The number of people in that work unit (Q. A5-a) only includes personnel in the village committee or the enterprise.

About other questions in Part 1

1. Question A.5 is applicable only to people whose “Main source of income” in Card 5 is 3 “Wage worker or cadre” or 7, “Migrant laborer,” and to people who have retired or left office. It is not applicable to people who run enterprises or are self-employed businessmen.

When recording the situations of people who have retired or left office, please note that A.5.a, “How many people in total work in your work unit,” refers to the former work unit of that person before his retirement or leaving office. “Basic monthly salary” (A.5.b), “Total monthly bonus”

(A.5.c), and “Total monthly income” (A.5.d) refer only to a person’s retirement pay from his former work unit and do not include his income from other sources.

If a person is re-employed by his former work unit after he retires or leaves office and he has no other job or income, then all his income, including the subsidy from his former work unit, should be entered in response to A.5.

However, if a person after retiring or leaving office works in another work unit or does some other activities which have income, then his retirement pay should still be entered in response to A.5, but all other income should be regarded as from a “secondary occupation” and be entered in response to B.4 (on the top of Page 10 [in the Chinese language questionnaire]).

2. As far as A.5.a, “Total number of people in the work unit,” is concerned, interviewers should enter “0” if there is only the respondent in that work unit. [xx THERE ARE NO CASES CODED ZERO. HOWEVER 8 CASES ARE CODED 1. DOES “1” IMPLY THAT THERE ARE TWO PERSONS IN THE DANWEI? THIS IS CONFUSING AND NEEDS TO BE CLARIFIED.]

3. In A.6 “*xiafang*” refers to being sent down to a lower social position and to another place, often to the countryside, because of political movements, wrong deeds, or responding to the call to go to the countryside before the 80’s. Besides “*shangshan xiexiang*” (“Going up to the mountains and down to the villages”), “*xiafang*” also includes, for cadres, “going down to a May 7th school,” for “rightists,” “being sent down,” for city workers, “mobilization to return to their home villages” and, for city residents, “going to the countryside and settling down,” etc. Generally speaking, everyone who has ever experienced “*xiafang*” will understand the meaning of this word.

However, “*xiafang*” must involve a change in location. If a person demoted from a higher position to a lower position in the same unit (*danwei*) he/she should not be regarded as experiencing “*xiafang*”.

4. In A.8, code 98, “never returned,” refers to the situation where the respondent is still in the place to which he was sent down.

Part 2. Family Economic Activity (beginning from Page 7)

1. All the questions in this part which mention “you or your family” or “you and your family members” are asking about the situation of the family, not only about the situation of the respondent. Therefore, when asking about whether “your family” is engaged in a certain activity, interviewers should enter “yes” if some member in that family engages in that activity even though the respondent himself does not.

Take B.1.a. as an example (“Do you or your family members grow crops?”). If the respondent does not but some of his family members do grow crops, “yes” should be entered as the answer. In some towns and counties, many families have some members working in the city and some other members farming. Such families should be counted as families planting crops. Another example is a worker in a village enterprise whose family members are very probably peasants. The questions here are asking about the farming situation of that family, not only about the working situation of the respondent.

All questions concerning “Does your family have an agricultural sideline?”, “Is your family engaged in other activities?”, etc. should be filled out in the following way: “Yes” is the answer as long as one family member is engaged in the activity.

For the majority of city families, B.1 and B.2 are not applicable. But be sure to note that B.3 is applicable to many city families. So, remember to ask.

2. The computation equation for “net income” is: total income - expenses and operating costs - tax - costs of contracting or leasing = net income. This equation is applicable no matter the income is from urban or rural activity; industry, farming or commerce.

In this equation, expenses and operating costs refer mainly to costs of fertilizer, pesticide etc. in agriculture, and to costs of raw materials, salaries, etc. in industry. However, if a respondent buys some means of production (such as a tractor), interviewers should divide the total price by 10 and then add the amount got to the respondent’s costs for the year.

“Tax” in agriculture refers to “agriculture tax”, but does not include “quotas” or “apportioned charges” assessed by the village or county. In industry or commerce, “tax” includes all kinds of formal taxes and individual income tax. In other words, “net income” refers to the income after tax.

“Costs of contracting or leasing” refer to fees turned over to the asset owners by the contractors when both sides are bound by formal contracts. Hence, the fees for renting factory buildings, shops, or vehicles should be counted as “expenses and operating costs,” not as “costs of contracting or leasing”.

If a respondent is unable to tell his/her net income precisely, interviewer may help him/her to calculate according to the above-mentioned equation. If a respondent is able to give a specific figure, it is enough for interviewers to write down the number given.

3. When filling out questions about income, interviewers should enter “0” if a respondent has no income or only has debt.

4. About net sales income “in the last year”--questions B.1.c, B.2.e, B.2.g, B.3.e, B.3.f, B.3.n, B.4.b, and B.5.a:

In all these questions, “last year” refers to the year 1995.

There are three kinds of answers to these questions:

(1). A family began to engage in an activity before 1995 and continued to do it in 1995. In this case, an interviewer only needs to make clear the situation of “last year” and to record it accurately.

(2). A family began to engage in an activity in 1995 and did it for only a few months. That family’s net income in the “last year” should be calculated in the following way: Divide the total net income that a respondent gives by the number of months the family engaged in that activity and then multiply it by 12. Thus, income from all activities lasting less than the full year are adjusted to yield an annual equivalent.

(3). If a family began to engage in an activity after 1 January 1996, then “0” should be entered in B.3.e and B.3.f. (Please note: The number “0” should be equal to the number of the code digits of that question. [xx THIS IS UNCLEAR.]) Moreover, “1996” should be entered in B.3.g.

5. In Part 2, B.1, B.2 and B.3 are mutually exclusive. B.1 is about farming and the income from farming. Therefore, the content in B1 should not appear in B.2 or B.3 again. B.2 is about agricultural sidelines and the income from them. It does not include non-agricultural industry and commerce. B3 is about non-agricultural industry and commerce and the income from them. These three kinds of cases should not be confused and repeated.

6. About B.1.b: In cases of planting tea trees or medicinal herbs, 9 (“Other”) should be entered and the details should be recorded.

7. About B.1.c: All families that are engaged in farming should have incomes. Even though a respondent may say that his family has not sold any agricultural products, interviewers should still help him to calculate his family’s income. Convert the crop the respondent’s family harvested or consumed in the last year to a monetary amount according to local rates. Then subtract expenses and operating costs. The resulting amount is the farming income for the respondent’s family.

Only in two cases should “0” be entered: harvesting nothing because of natural disasters or incurring debts.

8. About B.2.a: “Agricultural sideline” implies diversified agricultural economy, but refers only to activities aiming at selling products. It does not include pig-raising or chicken-raising for the purpose of family consumption.

9. About B.2.b: Land leasing from the state should not be included here and should be treated as “no”.

10. About B.3: Please look back at Table 2. This question must be answered for people operating an enterprise or who are self-employed.

For the majority of urban families, B.1 and B.2 usually are not applicable. However, please note that B.3 is applicable to many urban families. Therefore, remember to ask.

11. About B.3.c and B.3.d: “Family member” should be defined by respondents and interviewers only need to record accurately.

12. About B.3.k: All export or foreign trade business should be treated as “selling to the state”.

13. About B.2.g: The income from agricultural sidelines in this question refers to the total income from all other sidelines except the above-mentioned one [the sideline to which responses B.2.a-B.2.e refer].

14. About B.3.l: “Foreign investments” includes investments from HongKong, Macau, and Taiwan.

15. About B.3.e and B.3.f: “0” should be entered if the business had not started last year. (Please be sure to fill out all the digits.)

16. About B.3.e: The definition of total sales for a manufacturing enterprise is the total amount of products sold excluding any costs or expenses. For a commercial or service business, the amount of total sales is its volume of business, that is, the total amount of products or service sold excluding any costs or expenses. So, “total sales” is popularly called “gross income”.

For any business, the amount of total sales is bigger than its net income.

17. B.4 and B.5 are applicable to everyone, living both in cities and in the countryside, and should be asked and filled out in all cases.

The “yearly net income” for people with salary should be calculated in the following way: total monthly income x 12 months = annual income. [xx IT IS NOT CLEAR TO WHICH QUESTION THIS COMMENT REFERS.]

18. About B.5.a: Theoretically, the amount of “net income from all sources” should be bigger than the total amount of incomes mentioned in the foregoing parts of the questionnaire. If not, interviewers should check and get the respondent's confirmation. Hence, please note here that the “net income from all sources” must be bigger than the amount filled in B.1.c.

Please be sure to include all remittances, interest, cash gifts, and lottery awards.

Part 3: Father (Beginning from Page 10 [of the Chinese language questionnaire])

“Father” and “Mother” in Part 3 and Part 4 refer to a respondent’s current father and mother. For example, if one’s father or mother is remarried, the situations of his/her current (remarried) parents should be asked. [This is unfortunate. It would have been better to treat parents in the standard way, recording information on the parents the respondent was living with when he/she was age 14. Fortunately, remarriage rates are extremely low in China--in our data just over one per cent of respondents have remarried, and the re-marriage rate is probably still smaller for parents. Thus, from a practical point of view, the decision to record the characteristics of current step-parents is of little importance.]

If a respondent begins to answer questions about his step-father or adopted father, then all the questions in Part 3 should be asked about this father and all the questions in Part 4 should be asked about this father’s spouse (step-mother/adopted mother). Furthermore, the situation of the father of the step-father (grandfather) should be filled in Part 6 and the situation of the step-mother’s mother (maternal grandfather) in Part 7. Please do not confuse them.

About Table 3

In Table 3, if “the year when the respondent was 14” is the year 1948, 1963, 1970, 1979, or 1989, the answer should be repeated.

In Table 3, if “passing away” occurs in a year, then “passed away” should be filled in the column “type of activity” and be coded “13”. Moreover, “passed away” should be filled in all the following spaces of the column “type of activity” and be coded “13”.

Other Questions

**The general principle is as follows: For questions concerning “Do they live together?” in C6, D6, F3, G3, H7, and H11, in case of not living together make sure to skip according to the print out of the questionnaire without any suspicion or hesitation.

C7: “Total salary” here refers to 1. wage + bonus + all stipends; 2. only to the total salary of the primary occupation; 3. it includes all kinds of retirement pay from the primary occupation.

In case of no salary, “0” should be entered and coded “0000000”.

Part 4: Mother (Beginning from Page 12)

In Table 4, if “the year when the respondent was 14” is the year 1948, 1963, 1970, 1979, or 1989, the answer should be repeated.

In Table 4, if “passing away” occurs in a year, then “passed away” should be filled in the column “type of activity” and be coded “13”. Moreover, “passed away” should be filled in all the following spaces of the column “type of activity” and be coded “13”.

D7: “Total salary” here refers to 1. wage + bonus + all stipends; 2. only to the total salary of the primary occupation; 3. it includes all kinds of retirement pay from the primary occupation.

In case of no salary, “0” should be entered and coded “0000000”.

Part 5: Parental Property (Beginning from Page 14)

In E1, a respondent’s parents who were not born or were too young before 1949 should be regarded as not married before 1949. Therefore, interviewers should choose “2, no” in this case and go to Part 6.

In the case of beginning to live with husband’s family while still young, the year got married should be the year the husband and wife began to sleep together in the same room.

E2: “Having one’s own house” refers only to owning the whole property of a house, and it does not include leasing, borrowing, or occupying a house.

If a “boatman” lives on a self-owned boat or a member of nomadic people lives in a self-owned tent, they may be regarded as having their houses. However, rented boats or temporary tents in a vagrant life can not be counted as one’s own house.

E8: “The size of a shop or business” should be determined by a respondent himself, and the interviewer need only record the answer accurately.

Part 6: Paternal Grandfather (Beginning from Page 15)

F6, F7, F8, F9, and F10 are only applicable to people who choose “3” in Card 5, that is people with a salary or wage. For other people, interviewers should go to F11.

F10: Salary or wage = salary + bonus + all stipends. It refers only to the salary of primary occupation and it includes all kinds of retirement pay.

F14: This question is asking about the details and should not be omitted.

F21: The “size” in options 2, 3, and 4 should be determined by the respondent.

Part 7: Maternal Grandfather (Beginning from Page 18)

G10: Salary or wage = salary + bonus + all stipends. It refers only to the salary of primary occupation and it includes all kinds of retirement pay.

G14: This question is asking about the details and should not be omitted.

G21: The “size” in options 2, 3, and 4 should be determined by the respondent.

Part 8 : Spouse (Beginning from Page 20)

H1: In case of separation, no matter how severe the situation is, it can not be treated as divorce as long as a formal divorce procedure is not complete.

In case of cohabiting, a cohabitant can not be regarded as married as long as he/she has not gone through a formal marriage procedure, no matter how long they have lived together. However, in such cases the cohabitant should be recorded in “Table 6, other family member”. In Column “a” of Table 6 (relationship to the respondent), the first choice in Card “10 (Q. 1.2.a, etc.)”, “cohabitant”, should be chosen.

H2: In case of beginning to live with husband’s family while still young, the year got married should be the year the husband and wife began to sleep together in the same room.

H3: “c” should be entered for all the respondents who have only married once.

“The most recent spouse” in H4 refers to: 1. the current spouse if a respondent has married more than once; 2. the ex-spouse if a respondent has not re-married after getting divorced.

H7 and H11: If the spouse or the spouse’s father has passed away, “passed away” should be recorded and coded “c”.

H8 and H12: “Total salary” here refers to 1. wage + bonus + all stipends; 2. only the total salary of the primary occupation; 3. all kinds of retirement pay from the primary occupation.

In case of no salary, “0” should be entered and coded “0000000”.

Part 9: Other Family Members (Beginning from Page 22)

For all the questions concerning family members, there is a logic to follow. If the person mentioned lives with the respondent, then B5b (“How many people are there in your family

currently?") = ego + father + mother + spouse + paternal grandfather + maternal grandfather + spouse's father + other family members.

Hence, if there are many other family members in a respondent's family in Part 9, interviewers should return to B5b and have a look at the situations of the respondent's father, mother, paternal grandfather, maternal grandfather, spouse, and spouse's father, to avoid inconsistency in the count of the total number of people in that family.

Part 10: Residential History and Housing Conditions (Beginning from Page 26)

In this part, for the migrant population, "here" and "your current housing" in J1 to J6 and J12 to J17 refer to the interview location. For example, when interviewing those migrant laborers in construction sites who came from the countryside, interviewers should ask about the work shed they currently live in instead of their housing in the countryside.

J2: "Yes" should be entered for the respondents who have lived in the interview locale (village, town, or city) ever since birth. For the respondents who have ever moved elsewhere, regardless of duration, "no" should be recorded and the next question should be asked.

J3: The size of the birth place refers to the size of the place when the respondent was born regardless of how big it is now. [Note that the way the questionnaire was constructed introduces error for respondents who have never changed locales since J1 presumably is answered in terms of the current size of the place--there is no instruction to interviewers to do otherwise.]

Refer to Card 6 for the response categories. Code people who were born in the urban district of any city according to the level of the city. The lowest level of a city is a county. People who were born in the suburbs of a city should be treated as born in the countryside for which the highest level is county and the normal level is town or village. [xx THIS IS UNCLEAR. NEEDS A RETRANSLATION.] If it is hard to decide, make an accurate original record and turn it to the teacher heading the team.

J6: "Moving to a village, town, or city" does not include moving between the districts of the same city. However, it includes moving between an urban district and a suburban district. The distinction between a urban district and a suburban district should be drawn not only according to administrative divisions. The definition of urban district is the area concentrated with buildings in a city. For example, Qinghe in Beijing should be regarded as a suburban area even though it is an urban district administratively, because it is far away from the densely-distributed buildings in the urban district.

J7 and J8: "c. not applicable" refers to the time before the *hukou* system was implemented in 1955. If a respondent was born before 1955 (that is, not including 1955), "not applicable" should be entered in J7. If a respondent had reached age 14 before 1955, "not applicable" should be

entered in J8. Please note: Some respondents who were born before 1955 may neglect this point and report themselves as having a rural *hukou*. Therefore, interviewers should roughly remember the respondent's age to avoid such mistake.

J13: The residential rooms in a house refers to the rooms that may be used to sleep. The above-mentioned rooms which have not been utilized may also be counted. However, kitchens, restrooms, storage rooms, and small entrance halls which can only be used as passage way should not be counted as residential rooms. [xx CONFIRM THE TRANSLATION OF "RESTROOMS". IS THIS ACTUALLY TOILET OR BATH ROOM?]

Only record whole numbers.

For dormitories or work sheds in which a room is shared by more than one person, "c" should be entered.

J14: For dormitories or work sheds in which a room is shared by more than one person, the average use area of every person should be calculated by dividing total use area of the room by number of people living in it. However, only whole numbers need to be recorded. The smallest number should be 1.

J15: "a, tap water" also includes public tap water which is shared or for which fees are charged. For example, "yes" should be entered when people living in a compound have one public tap in the courtyard. However, if the public tap is outside the courtyard in which the respondent live or there is only one public tap water for a whole residential area, "no" should be entered.

"Indoor toilet" in J15c does not include public toilets in shared buildings.

J16: If a house has been renovated, the year it was built should be determined according to the extent of renovation. In case of minor repairs, the year built is the year when the original house was built. If the original house was pulled down and rebuilt, the year built is the year the house was rebuilt.

J17: A similar logic [to J16] applies here. If the original house was pulled down and people moved in again after rebuilding, the year moved in should be the year moved in after rebuilding. Otherwise, the year moved to the original house should be recorded. [This is unfortunate since the point of the question was to determine residential stability, not how new the dwelling is-- which is covered by J16.]

Part 11: Material Consumption (Beginning from Page 27)

If a respondent belongs to the migrant population, "your home" is the place that he/she regards as home, no matter whether he/she refers to his/her current housing, native place, or home in the

countryside. Some of those people have taken their current housing as their homes, even though they have another home in the countryside or other cities. Thus, where their homes are should be determined by themselves. [There is an unfortunate inconsistency between the instructions for this section and the instructions for the previous section, Part 10. It would have been better to insist that the current, temporary, residence of migrants be the reference point, just as in Part 10.]

However, if such a person is married and the principal members (or a majority of members) of his/her core family have been brought to the current place (the interview location), then his/her “home” is the home at the interview location, not the previous homes. In such cases, the possessions in the current home should be asked about.

Part 12: Cultural Capital (Beginning from Page 28)

L6 and L9: “Technical and scientific books, or works of literature, history or biography” refers to books that have serious cultural significance, that is, “decent books.” Therefore, comic books, cookbooks, or fortune-telling books should not be counted.

L3 and L7 : “Books” refers to all kinds of books, including comic books and textbooks.

Part 13: Social Activities (Beginning from Page 30)

M5: “Family origin (*jiating chushen*)” refers to the respondent’s family origin in the years when family origin (*jiating chushen*) and status (*cheng fen*) were emphasized. Those years were mainly before 1985.

Interviewers should try to induce respondents to recall their family origins in those years. Do not fill in the answer according to the respondent’s current situation.

M6: “Leading cadre (*lingdao ganbu*)” should be defined by the respondent without explanation by the interviewer.

M8: If a leading cadre has many posts, only the highest and principal one should be entered. “Other senior relative” (code 6) includes uncles, uncles’ wives, aunts, aunts’ husbands, and all relatives who have the same position in the family clan as grandfathers on both paternal and maternal sides.

“Other junior relative” includes nieces and nephews on both the paternal and the maternal sides. They also include all the grandchildren and relatives junior to the grandchildren in the family clan on both the paternal and the maternal sides.

How to Fill out Table 7:

Take the leading cadre a respondent mentions first as No. 1. This cadre's current post should be entered in Line 1, and his previous post on Line 2. But record "1" in column 1 for both line 1 and line 2.

Take the cadre a respondent mentions next as No. 2. This cadre's current post should be entered in Line 3, and his previous post in Line 4. But the numbers in column 1 are "2" for both Line 3 and Line 4.

In other words, for every cadre his current post should be entered first and then his previous post should be entered in the next line.

The order of cadres need not to be arranged according to degrees of importance. Any order is acceptable.

Part 14: Conclusion (Beginning from Page 32)

In N1, "Do you recognize the following Chinese characters?", only the respondent's pronunciation of the words is examined, and "1" will be entered only when a respondent gives accurate pronunciation. If a respondent is not sure about the pronunciation, interviewers may ask further whether he understands the meaning; "2, incorrectly identified word" should be chosen if a respondent doesn't know or misunderstands the meaning.

(IV) Cards

Card 1: Educational Level

Code 03 refers only to *sishu*. If *xiucaai*, *juren* or *jinshi* was awarded, "other" should be entered and the original response must be recorded.

Code 09, "5 Big," refers to broadcast, TV, on the job, mail, factory or night colleges.

Codes 9-11 include those who got college, university or graduate school diplomas through self-teaching and corresponding examinations.

Card 2: Activities

Code 02, "Continuing work after retirement," includes continued employment by the original work unit (*danwei*) as well as doing other work, such as running an enterprise or self-employed business. On the other hand, "internal retirement" [xx GIVE THE CHINESE] should be treated as retirement.

Code 08, "Leaving office" (*tui xiu*) applies to people who had participated in the revolution before liberation and are retired now.

qq

"Unemployment (daiye)" in Option 3 includes such situations as "stepping down from one's post (xiagang)", "being outside the unit's registered personnel (bianyu)", "waiting for work in the unit (neibu daiye)", or "subject to reorganization (bei youhua)". All things considered, a respondent should be regarded as unemployed as long as he/she is out of the original post and has no new post.

As to "keeping house" in Option 5, some rural women do some sideline activities or raise farm animals besides keeping house. In this case, let the respondent determine which one is her major activity.

"Disabled" in Option 9 refers to all kinds of disabled, but does not include people on sick leave or sick retirement.

"Performing military service" in Option 12 applies to soldiers who only have stipends. The soldiers who have salary and officers (cadres) should be classified as people "laboring or working" in Option 1.

Card 3: Work unit type

Cooperative (hezuo) enterprise or joint operation (lianying) in Option 6 refer to all kinds of enterprises in partnership cooperation among families or individuals, which are not state-run, collective, or individual-run. Cooperatives (hezuoshe) in 50's and 60's should also be regarded as such kind of enterprises.

If a respondent gives such answer as "stock company", interviewers should ask further about the ownership of the enterprise, because "stock system" is only a form of management, not a form of ownership.

Concerning the work unit type, all villager's committees or resident's committees should be coded as "01".

Card 4: Work unit rank

If a respondent can tell his work unit type, interviewers only need to record. If a respondent can not tell, interviewers should classify according to the respondent's description and then enter.

Privately owned enterprises and enterprises with foreign capital are not included in the card. For those who are in the above-mentioned enterprises, "c, not applicable" should be the answer to their work unit type.

Card 5: Main Source of Income

"Village cadre without wage" in Option 2 includes: 1. village cadres who only got work points (gongfen) in the old days. 2. village cadres who currently get paid by deducting certain percentages from the village income.

If the main source of income of a village cadre is the salary from a collective enterprise, Option 3 should be chosen.

If a village cadre has two sources of income, classify according to his/her most important source of income.

"Salaried worker or cadre" in Option 3 refers not only to one's social status and is not connected to work unit type. Everyone who gets a salary for more than four continuous months from a same unit (danwei) will be classified here. Interviewers please note: This option includes long-time temporary workers (linshigong), peasant workers (nongmingong) who have worked for a unit (danwei) for a long time, long-time employees of self-employed businessman (getihu), long-time workers in village or township enterprises.

"Independent Occupation or Professional" in Option 5 refers to people who have income but do not belong to any unit (danwei), do not have a boss, and are not manual workers, except cadres, factory workers, self-employed businessman (getihu), heads of private enterprise. This category includes lawyers, accountants, people who engaged in buying and selling of stocks, or middlemen who are merchandise wholesalers or other similar activities.

"Migrant laborer" in Option 7 refers to a person who works for a unit (danwei) less than four months. Interviewers please note: Migrant laborers in the rural areas are also included here.

Card 6: Size of residential place

"Towns" in Option 2 refer to places where the town governments are. All other villages and small towns should be treated as "villages". If a respondent was born abroad, "c" should be entered and the original record should be kept.

Card 7. Occupation

Principle 1: Let a respondent choose the category that his occupation belongs to and then record. If a respondent cannot decide or he insists on two occupations, apply Principle 2 and 3.

Principle 2: If two occupation categories are applicable to a person at the same time, choose the higher one. For example, a person who works in shops and is also a general manager should be categorized as "7, higher level management or leader of unit".

Principle 3: If three or more occupation categories (options) are applicable to a person at the same time, interviewers should let the respondent decide which occupation is more important to him.

"Ordinary office worker" in Option 5 refers to people who do not directly participate in production or management and also do not have any professional or technical title, such as office staff, ordinary cadre released from production in factories.

"Middle level management personnel" in Option 6 refers to chiefs and deputies of "ke" level offices (heads of section) in a relatively independent unit (danwei).

"High level management " in Option 7 refers to chiefs and deputies who are in charge of an entire unit (danwei), chief engineers, chief accountants or chief economists.

"Professional/technical personnel" in option 8, 9, 10 refers to people who have professional or technical titles (zhicheng).

"Self-employed businessman (getihu)" in Option 11 refers to people who have no more than 7 employees. While "head of private enterprise" in Option 12 refers to people who have 8 or more employees.

Card 9: Position

In this card, administrative post, power and position are emphasized, while a respondent's occupation, work unit type, professional/technical title are not taken into consideration.

For positions lower than Ke, county level, a person's position in the social hierarchy is stressed. As long as a person has the power and status equivalent of such positions, he may be treated as having such positions regardless of whether he is a formal state cadre or not.

1. "Ordinary worker or staff" refers to someone with no powers of office (zhiquan), no matter whether they are a worker, ordinary cadre, office staff, professional/technical personnel or administrative staff.

III How to Make a List of Households and Coding Instructions

(I) How to make a list of households

1. Why a list of households?

In this survey, interviewers need to make a list of households in two cases

(1) The registrations lists of a few interview locations are incomplete. In this case, it is difficult to choose samples before interview. So, after arriving at the village or resident's committee, the teacher in charge of the group should take the household registers and make a list of households. Then, sample from the household list.

(2) Some samples given to interviewers may not be qualified. Unqualified samples should be treated in the following ways:

A. Sample moved, address unknown. If you get to a place according to the samples and find that most residents in the village or resident's committee have moved, you should stop the interviews and begin to make a new list of households (including migrant population).

B. Current residents are different from those in the samples. If during interview according to the samples, you find that some residents have changed, you should

a. regard the new household as your respondent if the old household has moved;

b. write down the changed situation if a house has been turned into a restaurant or store;

c. choose your respondent according to random sample principles, that is, for example, if the old household has moved and two new households have moved into the address, choose the household whose member answers the door.

d. check whether you get to the right place first, eg. if there is no such house-number in your interview location. If the place is right, find out why the house number has disappeared and write down reasons in the Record of Interview. Afterwards, find out whether such cases often occur. If more than 20% of house-numbers have disappeared, you should stop interviews and begin to make a new list of households.

2. How to Make a List of Households

In case of the above-mentioned situations in the survey, a new list of households needs to be made in the following way.

(1) How to make rural household list

A. First, write down the full name of the village committee (include names of province, township, county and village). Then, write down detailed correspondence address, postal code and total number of households (include migrant population).

B. Taking a villager's team as an unit, record separately names of heads of household in each team.

The following is an example of a completed rural household list

Full name of the villager's committee: Hunan Province, Yueyang County, Huangang Town, Dongfeng Villager's Committee

Correspondence address: Hunan Province, Yueyang County, Huangang Town, Dongfeng Village, Zhangchong Team

Postal code: 41400

Current number of households: 323

Team 1: 59 households

Zhangsan, Lisi, (family names), etc.....

Team 2: 45 households

Li Xiaoqiang, Wang Jianguo, etc.

(2) How to make urban household lists

It is not complicated to make an urban household list, but the list must be accurate and detailed. Urban households are roughly divided into two kinds. One is households in single-story houses. Some of this kind are one house-number one household, while some share one house-number with many other households. In a lane or alley, odd numbers are often on one side with even numbers on the other side. But sometime odd and even numbers do not completely correspond. The other kind is households in buildings. Households of this kind are mostly one house-number one household. But occasionally, two or more households may share one house-number.

A. How to make single-story household lists

a. First, write down the full name of the resident's committee (include names of province, city, district, street and resident's committee). Then, write down detailed correspondence address, postal code and total number of households (include migrant population).

b. Record all streets under this resident's committee. For example, the sphere of authority for Yanglou Lane Resident's Committee includes Yanglou Lane and Hetao Alley.

c. List all house-numbers in every lane or alley and point out those numbers of non-residential houses, which include factory, store, institution, school or office of resident's committee. Interviewers should add notes after those numbers.

d. Get household head's name for every house-number.

An example of a completed single-story household roster is as following.

Full name of the resident's committee: Zhejiang Province, Hangzhou City, Xihu District, Xixi Street, Hexia Resident's Committee

Streets under the committee: Hexia Road, Qinglian Road

Correspondence address: Zhejiang Province, Hangzhou City, Xihu District, Xixi Street, Qinglian Road, Apt5

Postal code: 310012

Current number of household: 561

Li Tong Zhejiang Province, Hangzhou City, Xihu District, Xixi street, Hexia Road, Apt43

Zhao Dahai Zhejiang Province, Hangzhou City, Xihu District, Xixi street, Hexia Road, Apt43

Zhang Xuejun Zhejiang Province, Hangzhou City, Xihu District, Xixi street, Hexia Road, Apt43

Wang Hong Zhejiang Province, Hangzhou City, Xihu District, Xixi street, Hexia Road, Apt44

Lin Xiaomin Zhejiang Province, Hangzhou City, Xihu District, Xixi street, Hexia Road, Apt45

B. How to make household list for apartment building

a. First, write down resident's committee's full name (include names of province, city, district, street and resident's committee). Then, write down detailed correspondence address, postal code and total number of households (include migrant population).

b. Record all streets under this resident's committee. For example, there are 9 buildings under Xibahe resident's committee, including Building 53, 55, 57, 128, 130, 132 and 134 as well as Building A 1 and A 2.

c List building number and apartment number of every building and point out apartments that are non-residential housing. For example, Apt 101 and 102 in Building 53 are offices of resident's

committee, the first floor of Building A 1 is a hotel, Apt 101-103 in Building 134 is a kindergarten.

d. find out which units are shared by two or more households and point out names of heads in those households. For households not sharing unit with others, head's names need not be pointed out.

An example of a completed one is as following.

Full name of the resident's committee: Hubei Province, Jinmen City, Nancheng District, Wuyi Road Resident's Committee.

Correspondence address: Hubei Province, Jinmen City, Nancheng District, Wuyi Road, Building 22, Apt 101

Postal code: 445023.

Current number of household: 488

Streets under the committee: Building 21,22,23 and Building South 1 and South 2 on Wuyi Road

Hubei Province, Jinmen City, Nan Cheng District, Wuyi Road Building 21, Unit 1, Apt 101

Hubei Province, Jinmen City, Nan Cheng District, Wuyi Road Building 21, Unit 1, Apt 102

Hubei Province, Jinmen City, Nan Cheng District, Wuyi Road Building 21, Unit 1, Apt 103, Huang Minxuan

Hubei Province, Jinmen City, Nan Cheng District, Wuyi Road Building 21, Unit 1, Apt 103, Ma Honggang

Hubei Province, Jinmen City, Nan Cheng District, Wuyi Road Building 21, Unit 1, Apt 201,

Some resident's committees have both households in single-story houses and in apartment buildings. In this case, combine the two methods described above.

(3) How to make migrant household list. Migrant population refers to population coming from other places and that has lived in this place for 3 months and more.

As long as we regard migrant population as people who have a fixed dwelling in the place, the way to make the migrant household list should be the same as the above-mentioned ways.

Accurate coding is possible only after scrutinizing the second part of the instruction manual and memorizing it.

II Instructions for Coding

1. Cover page coding

(1) Questionnaire number is the number printed by the coding machine.

(2) Same type code: 1. Urban general sample
2. Urban elite samples
3. Rural general sample
4. Rural elite sample

(3) For code of interview location, please refer to Table of Interview location Code. Every interviewer will get a copy of codes for interview locations for the places he will visit.

(4) Codes of interviewer and persons who do the first, second, or general check should be entered according to the numbers on the interviewer's cards.

2. Coding of questionnaire contents

A. Some general principles

(5) In the interview, every question should have detailed original record. Codes without original records are not allowed.

(6) Situations which really belong to categories of "don't know", "refused" or "not applicable" should be coded separately as a, b, c. If a question has codes with two or more digits, the above-mentioned situations should still be coded as a, b or c.

(7) In general, coding scope of every question is its option numbers, if there is no special explanation. When coding, record the option number chosen by the respondent in the coding frames.

(8) For questions to be answered according to cards, copy the option in the card first and then code accordingly.

(9) When skipping over some questions, let coding frames be blank for questions skipped, and do not enter anything.

(10) Enter "0" in higher digits of the code if there are none.

B Some specific directions

(11) About year. As to things that happened in this century, only enter the last two digits of Christian Era when coding after finishing original record. Such case will occur to Column "year began this school" and "year ended this school" in Table 1,2. For example, if a respondent began

primary school in 1967 and ended it in 1972, the years should be coded as 67, 72. Also, for A2, A7, A8, B3.g, C5, D5, F12, G12, H2, H3, H14, J6, J17, M2, M4, and etc., only the last two digits of the year need to be entered.

However, things that may have happened either in the last century or in this century, four digits of the year should be entered. The year when grandfather was born in F1 is such a case. (12) when entering quantities of income, sales, number of people, and etc., round up to integers. If the figure given by a respondent has more digits than the given digit's space, please record in detail the specific amount and enter 9 in the coding frames of that question. For example, in A5 there are 5 given coding frames. If the number of people in a respondent's work unit is 112000, which has more than 5 digits, code this question as 99999. And so on.

Please be careful about quantities when coding because mistakes are easily made. Remember to code strictly according to original records.

(13) If the answer is "no" to A3 in Part 1, "Have you ever attended school?", the whole Table 1, Education History Roster, should be skipped and all coding frames in Table 1 should be left blank. However, do not forget to ask about A3 and code it.

(14) How to code Table 1 "education history roster".

14.1 If a respondent is receiving some education at the time of interview, the "year ended" should be coded 99.

14.2 In case of getting college diploma through self-teaching, both "year began" and "year ended" should be coded c.

14.3 Concerning Column f "major", coding is not necessary for respondents whose education levels are no higher than junior middle school.

14.4 When not all the lines in Table 1 need to be filled out, "C" should be entered in column A, "year began this school" of the line after the ending line. Here, please pay attention to the ending line. For example, if a person's fifth and final schooling is in university from 1985 to 1989. Line 5 in Table 1 will be the ending line. When coding, we should finish coding of the ending line and then enter "C" in the first Column (in this example, column A, that is, "year began this school") of the next line (in this example, Line 6).

The same rule applies to Table 2 "life history roster", Table 6 "other family members", and Table 7 "cadre connections". "C" can only appear once in the first column of Table 1, 2, 6, that is, in the first square of the line right after the ending line.

(15) How to code Table 2 "life history roster".

15.1 If an activity that a respondent is engaged in is still ongoing, Column b “year ended” should be code 99.

15.2 For respondents who do not “labor or work” or “continue to work after retiring or leaving office” (respondents whose activities do not belong to 1 or 2 in Card 2), income source, occupation, type of work unit, rank of work unit, position, and etc. concerning that activity should be skipped and not be coded.

15.3 For respondents who do “labor or work” or “continue to work after retiring or leaving the office” (respondents whose activities belong to 1 or 2 in Card 2) but whose major source of income is not salary in Card 5, only type of work unit, rank of work unit and position concerning that activity should be skipped and not be coded. The occupation still needs to be asked and coded.

15.4 There are two sets of codes for occupation. After detailed recording, code occupation twice. First code it according to Appendix 2. Then, code it according to Card 7. Do not neglect either code. For coding according to “occupational classifications and codes of China”, the big category should be entered in the first frame, the middle category the second frame, and the small category the third frame. Such rule also applies to Table 3, Table 4, and Table 5.

Concerning how to code the ending line, please refer to 14.4.

(16) If a respondent’s ending line of “major source of income” in Table 2 (that is, current major source of income) is not “3, salary” or “7, migrant temporary worker” in Card 5, A5a to A5d should be skipped and not be coded.

Particular attention must be paid to coding the questions from A5a to A5d, because they are about quantities and hence mistakes are easily made.

(17) In Part 2, questions skipped need not be coded. However, B1a, B2a, B3a, B4a, B2f, and B3m must be asked and coded.

(18) How to code Table 3 and Table 4.

18.1 If the “year when the respondent was 14 years old” is the year 1948, 1963, 1970, 1979, 1989, and etc., answers should be repeated, so does the coding.

18.2 When coding the activities of a respondent’s father (Table 3) or mother (Table 4) that do not belong to 1 or 2 of Card 2, please refer to 15.2.

18.3 When coding the activities of a respondent’s father (Table 3) or mother (Table 4) that belong to 1 or 2 of Card 2 while their major sources of income are not salary in Card 5, please refer to 15.3.

18.4 If in Table 3 and Table 4, "in 1948", "in 1963" or in some other years are not applicable, enter "C" in Column "activity" of that year. For example, a respondent's father had not been born before 1948, thus, Line "in 1948" in Table 3 is not applicable. Code the activity in that year "C".

18.5 For occupation coding in Table 3, Table 4, refer to 15.4.

(19) In Part 5 "parental property", there are many questions that may be skipped. Therefore, be careful when coding.

(20) Part 6, "paternal grandfather".

20.1 Questions from F5 to F10 are asked only when "current activity of grandfather" is 1 or 2 in "type of activity" of Card 2. Otherwise, they should be skipped and be coded according to 15.2.

20.2 Questions from F6 to F10 are asked only when "current major source of income of grandfather" is salary in Card 5. Otherwise, they should be skipped and be coded according to 15.3.

20.3 Concerning coding F14 according to the "occupational classifications and codes of China", if some occupations before liberation are very hard to code, turn over the original records to the teachers leading the team or technical team leaders and let them decide. If they can not decide, put your questions on the questionnaires and let the teachers heading the project to handle them after you bring them back to Beijing.

(21) The same rules for coding Part 6 "paternal grandfather" applies to Part 7 "maternal grandfather".

(22) Part 8, "spouse".

22.1 if only married once, H3 should be coded as c.

22.2 For coding Table 5, refer to the coding of Table 2, Table 3, and Table 4.

(23) Part 9, "other family members".

23.1 In case of no other family members, do not forget to ask about 11 and code it.

23.2 How to code Table 6.

If a family member was born after January 1st of 1980, do not forget to ask about this family member's relationship with the respondent, sex, date of birth and code them.

For coding columns from g to l in Table 6, refer to the coding of Table 2.

(24) Part 11, “material consumption”.

Original records and circles must be made no matter with or without an item. It is wrong to only record “yes” or “no”. Be careful when coding.

(25) How to code Table 7 in Part 13, “social activities”.

Please refer to “how to fill out Table 7” in the second part of this manual to code ordinal numbers. When “year began” or “year ended” of a post are not clear, code them as a. If a person is still in that post, “year ended” for that post should be coded 99.

INTERVIEWER INSTRUCTIONS: APPENDIX A
AGE, YEAR OF BIRTH, AND CHINESE BIRTH SIGN

| Age (In 1996) | Year of birth | Birth sign | Age (in 1996) | Year of birth | Birth sign |
|------------------|------------------|---------------|------------------|------------------|---------------|
| 0 | 1996 | Rat | 40 | 1956 | Monkey |
| 1 | 1995 | Pig | 41 | 1955 | Ram |
| 2 | 1994 | Dog | 42 | 1954 | Horse |
| 3 | 1993 | Chicken | 43 | 1953 | Snake |
| 4 | 1992 | Monkey | 44 | 1952 | Dragon |
| 5 | 1991 | Ram | 45 | 1951 | Rabbit |
| 6 | 1990 | Horse | 46 | 1950 | Tiger |
| 7 | 1989 | Snake | 47 | 1949 | Ox |
| 8 | 1988 | Dragon | 48 | 1948 | Rat |
| 9 | 1987 | Rabbit | 49 | 1947 | Pig |
| 10 | 1986 | Tiger | 50 | 1946 | Dog |
| 11 | 1985 | Ox | 51 | 1945 | Chicken |
| 12 | 1984 | Rat | 52 | 1944 | Monkey |
| 13 | 1983 | Pig | 53 | 1943 | Ram |
| 14 | 1982 | Dog | 54 | 1942 | Horse |
| 15 | 1981 | Chicken | 55 | 1941 | Snake |
| 16 | 1980 | Monkey | 56 | 1940 | Dragon |
| 17 | 1979 | Ram | 57 | 1939 | Rabbit |
| 18 | 1978 | Horse | 58 | 1938 | Tiger |
| 19 | 1977 | Snake | 59 | 1937 | Ox |
| 20 | 1976 | Dragon | 60 | 1936 | Rat |
| 21 | 1975 | Rabbit | 61 | 1935 | Pig |
| 22 | 1974 | Tiger | 62 | 1934 | Dog |
| 23 | 1973 | Ox | 63 | 1933 | Chicken |
| 24 | 1972 | Rat | 64 | 1932 | Monkey |
| 25 | 1971 | Pig | 65 | 1931 | Ram |
| 26 | 1970 | Dog | 66 | 1930 | Horse |
| 27 | 1969 | Chicken | 67 | 1929 | Snake |
| 28 | 1968 | Monkey | 68 | 1928 | Dragon |
| 29 | 1967 | Ram | 69 | 1927 | Rabbit |
| 30 | 1966 | Horse | 70 | 1926 | Tiger |
| 31 | 1965 | Snake | 71 | 1925 | Ox |
| 32 | 1964 | Dragon | 72 | 1924 | Rat |
| 33 | 1963 | Rabbit | 73 | 1923 | Pig |
| 34 | 1962 | Tiger | 74 | 1922 | Dog |
| 35 | 1961 | Ox | 75 | 1921 | Chicken |
| 36 | 1960 | Rat | 76 | 1920 | Monkey |
| 37 | 1959 | Pig | 77 | 1919 | Ram |
| 38 | 1958 | Dog | 78 | 1918 | Horse |
| 39 | 1957 | Chicken | 79 | 1917 | Snake |

INTERVIEWER INSTRUCTIONS: APPENDIX B
CHINESE STANDARD CLASSIFICATION OF OCCUPATIONS

[See Codebook Appendix B.1]