# Interviewer Training Manual

## *“The State and Life Chances in Urban China” Project*

(English Translation)


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# Interviewer Training Manual

## *1. General Introduction*

### 1. Purpose of the Survey.

The purpose of this survey is to collect information on changes in the life experiences of a random sample of urban residents in China with respect to education, housing, work, and income, etc. Such data can provide an empirical basis for understanding historical changes in the living conditions and life chances of urban residents in China since 1949. The interviews involve collection of retrospective life histories over the stages of the respondent's life course.

### 2. The Significance of Studying the Dynamics of Social Change.

(1) The timing of life events and transitions has important implications for social research. For instance, self-employment has had different implications in different historical periods. Before the recent economic reform, the social status of private entrepreneurs was quite different from that of their counterparts in recent years. Therefore, we need to take into consideration the timing of events when we examine the effects of changes in occupational and economic sectors on the lives of urban residents.

(2) Relationships between social factors may have also changed across different historical periods. The relationship between occupation and income is a good case in point. Before the period of the economic reform, there was little disparity in income levels across occupations. But in recent years the income level of some occupations (such as those related to foreign trade and joint ventures) has risen more rapidly, whereas the income level of some other occupations has experienced a relative decline.

Based on these considerations, we will collect information on both the current and past living conditions. In addition, we will collect information about the place and timing of the events in the life experience of the urban residents in China.

### 3. Respondent Selection.

The respondents will be chosen at random. One person aged between 25-65 from the chosen household will be selected for interview based on the random number table (See the instructions on how to use the random number table in this manual). If the interviewee is married, his/her spouse will also be interviewed. Once the respondent has been selected, the interviewer should not change the designated respondent. Since some items in the questionnaire concern information about other members of the household, the interviewer can ask those members involved to assist in answering these related questions.

If the respondent is not at home, the interviewer should make an appointment for a re-visit. If the respondent is not available for an extended period of time (e.g., on a business trip for several weeks), or the respondent refuses to cooperate, the interviewer should select the next interviewee according to the rules specified in section 3 of Part 1.

The four-digit Arabic number at the top of each column in the questionnaire is for the purpose of computer coding. They are not related to the content of the questionnaire.

## 4. Basic Rules of Interview.

1) The task of the interviewer is to obtain the information itemized in the questionnaire through face-to-face interview with the interviewee. The interview should not be conducted over the phone, nor should the questionnaire be filled out by the interviewees themselves.

2) The interviewer should be familiar with the structure of the questionnaire, and the appropriate ways to introduce these questions. He/she needs to understand the instructions for each item, and be able to clarify any misunderstandings the respondent might have regarding the interview items. The interviewer should be able to correctly fill in the questionnaire. The finished questionnaire should be legible and accurate.

3) The interviewer should ask questions and record answers according to the sequence of the questionnaire. He/she should not change the content of the questionnaire. The interviewer should ask each and every question in the questionnaire. If there is any item left unfinished or unfilled, the questionnaire will be treated as incomplete.

4) The interviewer should be patient and careful, and record respondent's answers accurately. Because the questionnaire covers a long time span, the respondent should be given sufficient time to recall his/her life events. The interviewer should facilitate the respondent's recall of details of particular events and try to obtain complete and accurate information.

5) Most of the items in the questionnaire have corresponding coding cards. When asking the pertinent questions, the interviewer should ask the respondent to select the most appropriate code from the coding card. The interviewer should verify the respondent's choice and fill it in the questionnaire. If the answer the respondent gives does not have a matching code in the coding card, or the interviewer is uncertain about how to code the answer, he/she should record the original answer of the respondent verbatim in the margins of the questionnaire and hand it in to the supervisor for further processing.

6) Questionnaires must be filled out clearly and completely. Questionnaires should be filled out by using a pen or ballpoint pen in blue or black ink, but not a pencil

or red-colored pen. Chinese characters must be legible. All numbers must be in Arabic, not in Chinese characters. For example, one thousand should be written as "1000."

7) Whenever the coding is available, respondent's answer should be converted to the appropriate code number. Because the coding for some questions may be complicated, the interviewer should be careful not to miscode the respondent's answer. Both numbers and codes should be written in the designated cells.

8) All questions in the questionnaire should be asked and filled out. If the respondent does not know the answer to the question, or refuses to answer, or the question is not applicable to the respondent, the interviewer should fill in an appropriate corresponding code. The codes for these three types of situations are respectively:[1]

| | |
|---|---|
| Do not know: | -7 |
| Refuse to answer: | -8 |
| Not applicable | -9 |

"Not applicable" means that certain question does not apply to the respondent. For instance, consider a respondent who was enrolled in a high school during the Cultural Revolution. At that time there was no distinction between "key" school and "ordinary school." Thus the question regarding "whether the respondent's school is a key school or not" is not applicable to this respondent at that specific time.

9) If the interviewer needs to correct typos, he/she should strike out the wrong coding entirely and write the correct coding above the original one. For example, to change 307 to 317, strike out 307 entirely (~~307~~), and replace it with 317.

10) If there are not enough rows/columns in the questionnaire, interviewers can write the information in the adjacent margin on the same page. For example, the questionnaire provides 10 rows to record one's educational experience. If one respondent has 11 separate educational episodes, the interviewer should record the information about the respondent's eleventh education experience in the margin space below the tenth row.

11) Interviewers must honor professional ethics. They should protect the confidentiality of each interview, not revealing any information about any respondent to a third party.

## 5. Interview Procedures.

*(1) Preparation for the Interview.*

[1] PI's note: these codings for missing information were not implemented consistently across research teams. It is advisable to treat all three types of codings as belonging to the same category of "missing information." When an item has missing information, it is usually obvious to check if that item has "missing information" or "not applicable" from the context.

1) Before conducting an interview, the interviewer should fully understand the requirements of the interview and be familiar with the content of the questionnaire. The interviewer should contact his/her supervisor immediately should he/she have any questions.

2) The interviewer needs to spend some time practicing the interview, including practicing how to introduce him/herself, how to introduce the purpose and contents of the interview, how to ask for specific information about each item, how to clarify questions that the respondents might ask, etc.

3) Since the respondent is selected at random from all members of the household, the interviewer should visit the chosen household at a time when all family members are most likely to be home. The best time is the early evening or daytime on the weekend.

*(2) Conducting the Interview*

1) Interviewer may want to contact each chosen household in advance, explaining the purpose, contents and length of the interview (the normal length of the interview is approximately within two hours). Since the respondent cannot be predetermined, the interviewer should inform all permanent residents of the household to be present in order to select the appropriate respondent. After the chosen household has agreed to be a part of the study, the interviewer can make an appointment for the interview.

2) Interviewer should arrive at each household site on time with their personal identification card, the questionnaire, relevant materials, and coding cards. Interviewers should dress and behave appropriately.

3) Upon arrival at the selected household, the interviewer should first introduce himself or herself, showing his/her ID. The interviewer might want to chat with the respondent briefly to ease his/her potential nervousness.

4) Before starting the interview, the interviewer needs to explain that this interview is for academic research. Respondents should be assured that both interviewer and researchers guarantee the confidentiality of the contents of the interview. The name, address, and work unit of respondents will not appear in the questionnaire and will not be used in analyzing the data.

5) Interviewers should give respondents an opportunity to raise questions. They should address in a straightforward way any concerns that the respondent may have regarding this interview, such as "why do you select me to interview?", "who is the supervisor of the survey?" etc.

6) Interviewers should use neutral language to ask survey questions. If there are some sensitive or awkward issues (such as divorce or death of spouse), the interviewer

should raise the question tactfully. Interviewers should encourage the respondent to provide accurate information and should make efforts to obtain useful information.

7) Interviewers should tactfully lead respondents back to the relevant topic if the answer given digresses too far from the questionnaire. But interviewers should not stiffly hurry the respondent in answering the items in the questionnaire, since many items require some degree of recall.

8) Since some of the questionnaire involves retrospective life histories, the respondent needs to recall the timing and sequencing of various life experiences. Interviewer needs to pay close attention to the consistency and accuracy of the reported timing of events. There should not be a gap in one's life experience. If the respondent cannot remember (e.g., because that the event happened long time before), or does not want to recall some of his experience (because of fatigue), the interviewer should patiently encourage the respondent to provide information as accurately as possible.

9) If any unpleasant incidence occurs during the interview, the interviewer should remain calm and behave properly. Interruption of the interview should be avoided if possible.

10) The interviewer should record the original answer of the respondent, but also should pay close attention to whether or not the answers of the respondent are consistent. If some answers are inconsistent, unclear, or questionable, the interviewer should ask the respondent for immediate clarification. If the question still cannot be resolved, the interviewer should record the answer of the respondent and make a brief note beside the answer to explain the discrepancy.

*(3) Finishing the Interview*

1) After completing each interview, the interviewer should fill in the questions at the end of the questionnaire such as the completion time of the interview, an assessment of the respondent's attitude of cooperation, etc.

2) Before leaving, the interviewer should tell the respondent the interviewer's ID, contact address and phone number in order to facilitate communication in the future.

3) Remind the respondent that in the next few weeks the survey team may call or mail him/her to verify the interview. Ask the respondent to cooperate at that time.

4) The interviewer should check the questionnaire carefully to avoid mistake and accidental omission. If there are any problems, the interviewer should contact the respondent and ask for clarification promptly.

5) Keep the completed questionnaire safe and turn it in to the supervisor promptly. Report any unexpected incidence to the supervisor immediately, should such an incident occur in the interview process.

## *Part One. Questionnaire Coding*

1. The serial number of the questionnaire is based on the following rules:

| | |
|---|---|
| The first and second digit: | Province ID |
| The third and fourth digit: | City ID |
| The fifth and sixth digit: | Residential Committee ID |
| The seventh, eighth, and ninth digit: | Respondent ID |

Note: In the questionnaire, the last five digits is lumped together and called "sample ID."

2. Fill in the date and time of the interview. To avoid confusion, time should be recorded 24 hours continuously, e.g., "1 PM" should be written as "13," and "2 PM" as "14," etc.

3. Fill in the random number table and select respondent from this table. Using the random number table is an important step to ensure the representativeness of the sample. Please select the random sample according to the procedures specified below.

(1) Ask your host how many members in this family (permanent residents, including those who are not present at this moment) are aged between 25-65 (i.e., born between 1929 and 1969).

(2) Fill in the information of those family members who are within the age range in the random number table in a descending order, starting with the eldest one. "Relationship" means the relationship of the members of the family with the head of the household. For instance, if the head of one household is a 63 years old male, and permanent residents in his household include his wife (60 years old), son (25 years old), and daughter-in-law (aged 23). Also, suppose it is his son who receives the interviewer. The random table should be filled out as follows:

| Relationship | Age |
|---|---|
| Self | 63 |
| Wife | 60 |
| Son | 25 |

Notice this table does not include the information of daughter-in-law, because her age is younger than 25. The first person in this table is "Self," i.e., the head of the household.

(3) The row in which the last member in the family occupies is the selected row. The column whose number corresponds to the last digit of the sample ID on the first page is the selected column. The number that resides in the cell at which the selected row and selected column cross indicates the *n*th member in the family who becomes the selected interviewee.

Suppose there are 4 persons whose ages are between 25-65 in a selected family. Their information should be filled in the first and second column in the random number table according to their ages. The fourth (4) row, which is the row that the last member of this family occupies, is the selected row. Suppose the sample ID (including the residential committee ID and the ID of the interviewee) on the first page is 25178. The eighth (8) column – the last digit in the sample ID—is then the selected column. The number that resides in the cell at which the $4^{th}$ row and $8^{th}$ column cross is 3. If the four members who are in the random number table are father, mother, sister, and self. The person whose number is three (i.e., occupies the third row) is the "sister," and she is the selected respondent to be interviewed.

If for some unexpected reasons the selected respondent is unable to participate in the interview (not with the family for long period of time, sick, etc.), the interviewer could interview another person form the same family whose birth date is closest to the original respondent, and add a note to indicate such a change. For example, if the original respondent whose birth date is February $3^{rd}$ (regardless of year) is unable to take the interview, and the birth date of other three members in this family are respectively February $9^{th}$, October $5^{th}$, and March $17^{th}$. Then the one whose birth date is February $9^{th}$ is the alternative respondent. Note that only in those special circumstances under which the original respondent cannot cooperate in the near future can such replacement strategy be utilized. If the respondent is not available because the timing of the interview is not appropriate, or he/she is out temporarily, the interviewer should make another appointment for a re-visit. Under this situation, interviewer should not select the alternative respondent.

Once the respondent is chosen, please check the row in which the respondent occupies in the right most column.

## *Part Two. Education*

*1. Purpose.*

The purpose of this part of the questionnaire is to collect information about the respondent's educational experience. The questions should be answered in chronological order (elementary school, junior high school, high school, college, and so on) without any omissions. The interviewer should not fill in respondent's highest educational level only. All of the respondent's educational experiences should be included. Suppose one respondent graduated from elementary school and went to junior high school. He went to work in the countryside without graduation. Later on he enrolled in a graduate program and obtained a master's degree.  This particular respondent's educational experiences should include elementary school, junior high school, and graduate school.  (Please indicate that he did not graduate from junior high school.  Refer to the instructions below).

Educational experience includes formal schooling, special training programs, and on-the-job training, as long as episode of the experience lasted longer than six months, regardless of whether or not one earned a diploma.

*2.   Educational Level*

(1) If the respondent claims that he/she is illiterate, the interviewer should ask whether the respondent ever attended a literacy class.  If he/she did, please count the literacy class as elementary school education and record the start and finish year.  If the respondent never attended a literary class, then fill in 1 in the first row and ask about his/her job related training experiences.

(2) In order to help the respondent to recall all of his/her educational experiences, the interviewer should try to fill in the questionnaire in chronological order.  If the questionnaire is not filled out chronologically, the interviewer must clearly indicate the start year and finish year of each educational experience.  For instance, after the interviewer had recorded the respondent's elementary school and off-the-job training experience, the respondent recalled that he had one year of junior high school education after he graduated from elementary school.  In this case, the interviewer must start another row to record the respondent's junior high school experience.  This new row must indicate the start and end year of this experience.

(3) There are ten educational levels.  Formal education includes elementary school, junior high school, high school, *zhongzhuan* (special or technical secondary school), *dazhuan* (community college, TV college, etc.), college, and graduate school (including study abroad).  Junior elementary school (*chuxiao*) is counted as elementary school; senior elementary school (*gaoxiao*) is counted as junior high school; Technical school is counted as *zhongzhuan.*  For those who received a diploma through self-study programs or other means, it should be recorded as having equivalent educational experience.  For instance, if one respondent got *dazhuan* diploma through correspondence courses, then his educational level is *dazhuan.*

(4) Informal education includes on-the-job training and special program training.  On-the-job training includes apprenticeships, on-the-job training (*zaizhi peixun*), and training in the same workplace while released from work (*tuochan xuexi*).  Special program training means being sent out to other institutions for training.

*3.   Start and Finish Year.*

(1) These two pieces of information regarding timing are very important.  Please help the respondent to recall the exact year if he/she has difficulty in remembering this

information. The interviewer could use the age of the respondent or the timing of important historical events as clues to help the respondent to recall this information. If the respondent is still in school (or in a training program), then the finishing year is 1994.

(2) If the respondent interrupted his/her study at a certain educational level for more than one year, the interviewer should start another line (i.e., use two lines) to record respondent's educational experience at this level. Suppose one respondent was admitted by the Chinese Department at Beijing University in 1965. He stopped his study to work in 1966. Then he went back to school in 1968 and gradated in 1970. This educational experience should be recorded as follows:

| Educational Level | Start Year | Finish Year | Graduation | Key School | Specialty | Location |
|---|---|---|---|---|---|---|
| 7 | 65 | 66 | 2 | 3 | 12 | 1 |
| 7 | 68 | 70 | 1 | 3 | 12 | 1 |

(3) Notice that the "finish year" here does not necessarily mean that the respondent finished his/her education at one particular level in that year. If other factors changed (e.g., interruption of study, change of specialty, switch of school, etc.), then "finish year" indicates the year when those conditions changed. The above example illustrates such a situation.

*4. Graduation.*

Whether the respondent graduated from a certain educational level should be based on the respondent's status in the finish year of the record. In the above example, the respondent stopped study and started working in 1966. The code for "whether graduate" in the first record should be 2 (indicating not graduate yet in 1966). The respondent graduated in 1970, so the code for whether graduate in the second record is 1 (graduated).

*5. Key School*

"Key School" indicates whether the school was a key school (*zhongdian xuexiao*) at the time when the respondent enrolled in that school (it does not reflect the current status of that school). Suppose one respondent enrolled in a junior high school between 1955-1958, and this school became a key school in 1985. Then the status of the junior high school in which the respondent enrolled should not be recorded as a key school. If there was no distinction between key school and ordinary school in the place where the respondent resided between 1955 and 1958, then the question whether the respondent's school is a key school is not applicable to this respondent (the code is –9). If there was such a distinction, the code should be 4 (not a key school).

*6. Specialty.*

(1) If the respondent’s education does not have any specialty, such as junior high school or high school, then the educational specialty of the respondent should be classified as comprehensive and be coded as 1.

(2) If there is no appropriate code on the education card for a certain specialty, please fill in the exact specialty in words. “Engineering, architecture/construction, technical” means electronic engineering, computer, mechanics, etc. Humanities refer to literature, language, history, arts, etc. Social sciences include political science, sociology, philosophy, etc. Natural sciences include mathematics, physics, chemistry, etc.

(3) If the respondent changed the specialty during the course of his/her study, the interviewer should start another line to record such a change. Please refer to the previous example for the appropriate format. A specialty change means a change from one kind of specialty (e.g., social sciences) to another kind (e.g., natural sciences). Changing the subject of study within the same kind of specialty (e.g., changing from physics to chemistry within the category of natural sciences) should not be counted as specialty change.

(4) “Political education and party school” include History of the Communist Party, Marxist and Leninist Philosophy, etc.

*7. Location.*

(1) Notice that the location code is different from province ID. The interviewer should fill in the location code accordingly. Do not fill in the name of the location. A large city is the city that has population larger than five hundred thousand. A medium city has population between two hundred thousand and five hundred thousand. A small city has population fewer than two hundred thousands.

(2) The location code for those who study or undertake training abroad is 7 (out of country).

(3) If the location of the respondent’s school changed during his/her study (such as a change from a large city to a small city), the interviewer should start another line to record the change. For instance, one respondent moved from a large city to the countryside with his parents in 1966 when he was in the third grade. This location change should be reflected in the following way:

| Educational Level | Start Year | Finish Year | Graduate | Key School | Specialty | Location |
|---|---|---|---|---|---|---|
| 2 | 63 | 66 | 2 | 4 | 1 | 2 |
| 2 | 66 | 69 | 1 | 4 | 1 | 6 |

## *Part Three. Housing*

*1. Introduction.*

We record the respondent's housing conditions since he/she started working (including work in the countryside as sent-down youth). The housing condition of the respondent when he/she was unemployed is excluded. Instances in which the respondent lived with his/her parents, or relatives, or friends, or lived in a dormitory should be included.

*2. Start and Finish Year and Month.*

These two pieces of information regarding timing are of critical importance. Please help the respondent to recall the exact year if he/she has difficulty in remembering this information. The interviewer could use the age of the respondent or the timing of important historical events as clues to help the respondent to recall this information. The finishing year for the residence in which the respondent currently lives is 1994, and the finishing month is the month of the interview.

This part of the questionnaire records respondent's housing conditions from his/her first job until 1994. There should not be a gap between the finish year of one housing accommodation and the start year of the next. In other words, the records should be continuous.

*3. Living Space.*

Living space means actual living space. It does not include the kitchen, bathroom, and balcony. Please help the respondent to estimate the living space if he/she is not clear about how large their living space is.

*4. Extra Space.*

Extra space includes the kitchen, bathroom, balcony, corridor, etc. If these facilities are shared by several households, please fill in the proportion that the respondent uses.

*5. Number of Rooms.*

Number of rooms means the habitable rooms that were constructed when the house was built. The rooms that resulted from re-partitioning by the residents should not be counted.

*6. Number of Residents.*

Number of residents means the number of people who live in the same house as the respondent and have done so for a long duration of time. If the number of residents in the house where the respondent lived changed, the interviewer should start another line to record such a change. Suppose one respondent had lived in a 16 $m^2$ house (with no extra space) since October 1965 when he got married until October 1975. But in January 1968, the respondent had a son, and the number in his house changed from 2 to 3. The housing condition of this respondent from 1965 to 1975 should be recorded as follows:

| Start Year | Start Month | Finish Year | Finish Month | Living Space | Extra Space | # of Rooms | # of Residents | … |
|---|---|---|---|---|---|---|---|---|
| 65 | 10 | 68 | 1 | 16 | 0 | 1 | 2 | … |
| 68 | 1 | 75 | 10 | 16 | 0 | 1 | 3 | … |

*7. Kitchen, Toilet, Running Water.*

The respondent's house has a kitchen, toilet, or running water if these facilities were included when the house was originally built. The facilities that were constructed by the residents should not be counted. These questions do not apply to those who live in a dormitory.

*8. Telephone.*

The respondent's house has a telephone if the respondent's own family has telephone in their household. Public phones should not be counted.

*9. Ownership.*

The ownership of a house that is provided by parents-in-law's work unit should be classified as being owned by the relative's work unit. If the ownership of the house changed during respondent's residency, the interviewer should start another line to record such change. Suppose one respondent was allocated one 30 $m^2$ house by his work unit in January 1985. He purchased this house in January 1992. The ownership of this house then changed from 1 (owned by the respondent's work unit) to 7 (owned by the respondent). The interviewer should start another line to record such change following the same format illustrated as above.

*10. Location and Province.*

Please notice the difference between these two codes. The interviewer should fill in both of these two codes and should not write the name of the location and province in words.

## *Part 4. Change of Work Unit*

*1. General Introduction.*

This part of the questionnaire asks about the work experiences of the respondent. Work experience includes waiting for a job, being sent-down to work in the countryside, joining the military, self-employment, and work in all other work units. One's work experience starts from the time of his/her first job until the time of the interview.

*2. Timing.*

The starting date and finishing date must be as accurate as possible. If the respondent cannot recall the exact time, please record the closest month and year. If the respondent is still working at the time of interview, the finishing year in the last record is 1994, and the finishing month is the month of the interview.

*3. Economic Sector.*

(1) Economic sector is determined by the nature of the economic activity that the respondent's work unit engages in. If the respondent works in a department store under the bureau of light industry, then the economic sector of the respondent's work unit is commerce, rather than light industry.

(2) The classification of economic sectors is more detailed than usual. The interviewer should keep in mind the subtle differences among different sectors.

- Mining includes coal, crude oil, natural gas, ferrous metal, and nonferrous metal industries.
- Textile and chemical products for daily life include food, medicine, tobacco, textile, paper-making, printing, cultural and sports utilities production.
- Raw material and chemical industry include tap water, electricity, petroleum, chemical, chemical fiber, rubber, and plastic industries.
- Metal-working and machinery include metal melting, manufacturing, machine processing, and machine manufacturing industries.
- Public services include public transportation, municipal works, environmental sanitation, and park management.
- Residence services include repairing, laundering and dyeing, and barber shop.

(3) Each change of work unit, including change of economic sectors within the same type of unit, should be recorded on a separate line. Suppose one respondent worked in a state-owned work unit from January 1975 to January 1985. He then switched from light industry to electronic industry in January 1980. His work experience from 1975 to 1985 should be recorded on two lines as follows:

| Start Year | Start Month | Finish Year | Finish Month | Economic Sector | Type of Workplace |
|---|---|---|---|---|---|
| 75 | 1 | 80 | 1 | 3 | 31 |
| 80 | 1 | 85 | 1 | 5 | 31 |

*4. Type of Workplace*

Type of workplace is denoted by an Arabic number. Each change in unit type should be recorded on a separate line. Please refer to the example above for the format. If there is no appropriate code for a respondent's particular work unit, the interviewer should record the full name of the respondent's work unit in the questionnaire.

*5. Organizational Ownership.*

(1) "Private corporation" means those private enterprises that are owned by several partners or stock holders. A "joint venture" with foreign firm means those enterprises funded by foreign capital (joint venture, or jointly operating enterprise, or solely owned by foreign investment). If the ownership of the respondent's work unit changed during his or her tenure, the interviewer should start another line to record such change. Suppose one respondent started working in a private corporation in chemical industry from January 1985. This enterprise became a family-owned private firm in March 1992. The work experiences of this respondent should be recorded as follows (suppose the interview is conducted in August):

| Start Year | Start Month | Finish Year | Finish Month | Economic Sector | Type of Workplace | Organization Ownership |
|---|---|---|---|---|---|---|
| 85 | 1 | 92 | 3 | 4 | 33 | 8 |
| 92 | 3 | 94 | 8 | 4 | 33 | 9 |

Note: The code of organizational ownership changes across these two records, but economic sector and type of workplace do not change.

(2) If the respondent started to work before 1949, the ownership of his/her work unit should be coded as "15." However, his/her work experiences after 1949 should be recorded on a separate line, and the ownership of his/her work unit should be classified into the appropriate category. Suppose one respondent worked in a private food processing enterprise from January 1940 to February 1956, at which point the enterprise became jointly operated by the state and a private owner (the respondent retired in January 1966). His work experiences should be recorded as follows:

| Start Year | Start Month | Finish Year | Finish Month | Economic Sector | Type of Workplace | Organ. Ownership | Size | Location |
|---|---|---|---|---|---|---|---|---|
| 40 | 1 | 49 | 10 | 3 | 33 | 15 | 150 | 1 |
| 49 | 10 | 56 | 2 | 3 | 33 | 8 | 150 | 1 |
| 56 | 2 | 66 | 1 | 3 | 33 | 11 | 150 | 1 |

*6. Size of Work Unit.*

Here "work unit" means the work organization that has autonomous accounting and administrative responsibilities. "Size of work unit" means the actual number of employees working in this independent unit. A college that administratively belongs to a ministry of central government is one independent work unit. The number of teaching and supporting staff (excluding students) is the size of this work unit. Another example of an independent work unit is the production brigade before the rural reform. The number of people in one brigade is the "size of work unit."

*7. Location.*

If the respondent's work unit moved from one of location to another (such as moving from a large city to rural area, etc.), the interviewer should start another line to record such change. Please refer to item 7 in Part 2 of this manual for the appropriate format.

*8. Work after Retirement.*

If the respondent continued to work or was re-employed by his/her previous work unit after he/she retied (or came back from sick leave), was employed by other work unit, or started a private business, the interviewer should record his/her work experience after retirement without intermission.

## ***Part 5. Occupation, Position, and Job Rank***

1. This part of the questionnaire is similar to Part 4. The purpose of these questions is to collect information on the respondent's occupations, official positions, forms of employment, and job ranks from his/her first job until present. A change in any one of these aspects should be recorded on a separate line.

2. The "start year" recorded on the first line should be the year when the respondent started to work. If the respondent's work experience was never interrupted (interruption may be caused by events such as going back to school), then the "finish year" of the previous line should be the same as the "start year" on the next line.

*3. Occupation*

(1) This survey adopts a standard occupation classification scheme. Please notice the subtle differences among occupations. If there is no appropriate code for the occupation reported by the respondent, please write down the name of the occupation in the corresponding cell.

(2) Workers in state farms or collective farms should be classified as "peasants (76)."

(3) Please notice the difference between scientific/technical research personnel and scientific/technical assistants. The former have formal professional education and conduct independent research, whereas the latter provide professional assistance. Suppose a scientific researcher should be coded as "11," whereas a lab technician should be coded as "13." Doctor should be coded as "12," whereas nurse should be coded as "13."

(4) Literary, health, or cultural specialist include writer and artist, playwright and director, musical instrument performer, coach, athlete, doctor, and those professionals who work in libraries, archives and news media.

(5) Staff members are those who engage in non-manual work, but are not officially treated as cadres. Administrative staff includes secretary, dispatcher, typist, and copyist. Political/security staff includes those who are not cadre, but who are doing political work, personnel of human resource management, security staff, fire fighter, etc.

(6) Skilled workers include machine operators, craftsmen, etc.

(7) If the respondent's job changed (including a job change within the same organization), the interviewer should start another line to record such a change. Suppose one respondent worked for a newspaper as a typist from 1980 to 1985, and worked as a journalist from 1985 to 1990. Her occupational change should be recorded as follows:

| Start Year | Finish Year | Occupation | Type of Employment | Job Rank | Position |
|---|---|---|---|---|---|
| 80 | 85 | 31 | 1 | 3 | 41 |
| 85 | 90 | 12 | 1 | 12 | 41 |

*4. Form of Employment.*

(1) Form of employment includes permanent jobs, contract jobs, temporary jobs, etc. If respondent's form of employment changes, including a change within the same occupation (e.g., change from a contract job to a permanent job), the interviewer should start another line to record such change. Please refer to the previous example for exact format.

(2) If the respondent was a cadre, but was transferred to work at a grass-roots level as a worker or peasant, then the form of employment of this person is "send-down."

*5. Job Rank.*

(1) Job rank often changes frequently. The interviewer should help the respondent to recall the detail of any such change.

(2) If the rank of the respondent changed, including a change within the same occupation (e.g., a worker being promoted from grade three to grade four, or a cadre being promoted from vice *ke* level to *ke* level), the interviewer should start another line to record such a change. Please refer to the previous example for the exact form.

(3) Please notice the difference between "job rank" and "official position." One person's professional rank may be "senior engineer," but his/her official position may be only a "general staff." Please also notice the difference between rank and occupation. One person's occupation may be an "editor" (coded as 12, i.e., literary, health, cultural specialist), but his/her professional rank may be "assistant editor" or "senior editor" (coded as 13 and 11 respectively).[2]

(4) Job rank is classified based on the rank ladders of several major occupational categories. If the respondent is a non-farming manual worker, his/her job rank should be converted to one of the nine grades for enterprise workers. If the respondent is a professional, his/her rank should be converted to senior engineer, engineer, assistant engineer, or technician (for example, the equivalent rank for college professor is professor, associate professor, assistant professor, and lecturer). Notice that some occupations do not have job rank equivalent to technician. All cadres (including managerial personnel in industrial and commercial enterprises, such as managers) should use the rank categories specially designed for cadres. Cadres in military should use the same categories.

(5) If the respondent has both a professional rank (*jishu zhicheng*) and administrative rank (*xingzheng zhicheng*), the interviewer should choose the one that can best reflect the nature of the respondent's work as his/her job rank. Suppose one respondent is a cadre in a state agency. His professional rank is accountant and his administrative rank is vice-*chu* level cadre. If this person is mainly doing accounting work, his job rank should be recorded as engineer (equivalent to accountant), but not vice-*chu* level cadre; and vise versa.

*6. Position.*

The respondent's position changes include a position change within the same work unit and at the same rank level (for instance, when a manager of an enterprise became the party secretary of the same enterprise, his position changed from "head technical cadre" to "head of the party committee in a work place"). In this case, the interviewer should start another line to record such a change. Please refer to the example before in this part of the manual for the format.

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[2] PI's note: in the Chinese official classification of professionals, there are standard professional ranks for different professional lines of work (e.g., one line of professional rank for editorship). All these lines are comparable with the standard official line for "engineering" professionals.

7. If the respondent continued to work after retirement, please fill in the corresponding code for his/her occupation, job rank and position. "Form of employment" should be coded as 7. "Rank" and "position" should also be assigned to the corresponding codes.

8. If the respondent started to work before 1949 and there is no corresponding codes for his/her rank and position, then fill in –9 ("not applicable") instead.

## *Part 6. Income.*

*1. General Introduction.*

(1) Income is an important component of this survey. Please record the information figure as accurately as possible. Please help the respondent to recall his/her income figure if he/she has difficulty in remembering his/her income in the past. Income in recent years has changed frequently. Please record the income figure as accurate as possible.

(2) Please try to dispel any worries the respondent may have about revealing his/her income. Tell the respondent that the information regarding his/her income is for academic research only and will be kept confidential.

*2. Year.*

(1) Begin by asking the respondent their income when he/she first started to work (the first job). Please fill in the exact year below the cell labeled "first job." If the respondent started to work before 1949, then fill in the designated years only and skip the income of the first job.

(2) After recording the income of the respondent in his or her first job, go on to ask the income of the respondent in the years listed in the income table, starting with the most recent year. The income table in the questionnaire lists 11 years that have historical significance in the Chinese recent history (for instance, 1987 is the year when some sectors resumed technical rank evaluation system; 1984 is the year when urban reform officially started; the Third Plenary Session of the Eleventh Central Committee was held in 1978; the Cultural Revolution approached to its end in 1975; 1965 was the eve of the Cultural Revolution, etc.). The interviewer could help the respondents to recall their income in these years by reminding them of these historical events.

(3) If the respondent cannot remember the exact income of one specific year, please ask the respondent to recall the income in the year that is closest to the specified year, and record this year in the cell below the specified year. For instance, one

respondent cannot remember his income in 1965, but he does remember his income in 1966. Write "66" below the cell "1965" in the column labeled "0610," and record respondent's income information in 1966 in that column.

(4) There should be no missing information regarding the respondent's income in any year (the year specified by the questionnaire or the year that recalled by the respondent). Even if the respondent's income did not change across several years, the interviewer should still keep a full record of respondent's income in these years. Suppose one respondent started to work in 1962 and retired in 1991. His income before 1984 and after 1991 did not change. The interviewer still needs to record this respondent's income in 1994, 1993, 1992, 1991, 1987, 1984, 1978, 1975, and 1965. The income of this respondent, as reflected in the questionnaire, was identical in 1994, 1993, and 1992. So was his income in 1978, 1975, and 1965.

*3. Basic Wage and Monthly Wage.*

(1) Basic wage means the wage that is regularly allocated to the respondent by his/her work unit according to his/her rank, seniority and other criteria. The line that starts with "Monthly Wage?" is used to record the time schedule by which the basic wage is allocated to the respondent. If the respondent gets his/her basic wage monthly, then interviewer should fill in 1 on this line. If the basic wage is allocated annually, then fill in 2; if the basic wage is allocated quarterly, then fill in 3.

(2) If the respondent has more than one job, his/her basic wage means the wage that is associated with his/her primary job. The income from other jobs should be classified as "other income" (see the explanation below).

(3) If the basic wage of the respondent changed in any year that the interviewer needs to record, please calculate his/her average basic wage in that year and use that figure as his/her basic wage. For instance, one respondent's basic wage in March 1987 was 56 *yuan*, and his wage was raised to 70 *yuan* in October after the reform of rank system in his work unit. This respondent's basic wage in 1987 would be 63 *yuan*.

*4. Total income.*

Total income means the sum total of the respondent's income, including basic wage, bonus, subsidy, income from a second job, and any other income. Please pay attention to the time unit that the respondent used to report his/her total income and fill in the appropriate answer to the question that asks if the respondent's total income is calculated monthly, yearly, or quarterly.

If the respondent's total income is calculated monthly or quarterly, and there is large variation across months, interviewer should calculate the annual total income of that respondent, and then calculate his/her average monthly total income and fill that number in the table. If this is the case, the code that is filled in the cell labeled "Monthly Wage?" should be 1.

*5. Bonus.*

If the respondent's bonus varies a great deal at different time, the interviewer can record the respondent's bonuses in either of the following two ways:

(1) Fill in the total annual bonus of the respondent and fill in 2 on the line starts with "Monthly Bonus?"

(2) Calculate average monthly bonus and fill that number in table. Fill in 1 on the lines starting with "Monthly Bonus?"

*6. Subsidy.*

Subsidy means extra remuneration that is allocated to individuals indiscriminately according to state policy, or the compensation that is given to a person because of the nature of his/her work (such as fieldwork and working in mountainous area), or the remuneration for one's special effort (such as work in night shift, or work overtime). In addition, subsidy also includes other allowances that are allocated to individuals according to state policy, such as grain allowance, rent allowance, allowance for single child, etc. If the respondent cannot provide the exact figure, please use the most accurate estimate instead.

*7. Other Income.*

Other income includes income obtained from sources other than one's main job, such as the second job, or work done during one's leisure time. If this kind of income is occasional or seasonal, then the appropriate time unit to record such income may be on an annual or quarterly basis. Please fill in appropriate code on the line starting with "Monthly Wage?"

Note: Some respondents may be sensitive to the question about other income. They may not want to reveal this information. The interviewer should explain the purpose of this question. Do not ask the source of the respondent's other income.

## ***Part 7. Personal Information.***

*1. Birth Year.*

Birth year should be recorded in terms of the calendar year. Please convert lunar year to the year in Gregorian Calendar if the respondent provides the former information.

*2. Marital Status.*

(1) If the respondent was married more than once, please fill in the date of his/her first marriage.

(2) If the respondent got divorced more than once, please fill in the date of his/her first divorce.

(3) This principle applies to other questions regarding one's marital status as well.

*3. Political Status.*

Suppose one joined the Communist Youth League in 1975 and now he/she has given up his/her league membership because he/she is over-age. In this case, the answer to "have you ever joined the Youth League?" should be "yes" (coded as 1).

"Party member" in this questionnaire refers to the membership of the Communist Party. If someone is a member of a "democratic party," please make a note and fill in the time when he/she joined the democratic party.[3]

*4. Family Background.*

Family background refers to one's own or parents' background classified by the government before the Cultural Revolution. Please ask this question in an appropriate manner in order to avoid the misgivings of the respondent. Fill in the appropriate code and then please write down the exact answer of the respondent in words in the margin of the questionnaire.

*5. Health.*

"1" indicates very unhealthy. "10" indicates very healthy. Please circle the number that the respondent scales his/her health and fill in this number in the corresponding cell in the questionnaire. The respondent's answer to the question about how satisfied he/she is with his/her current living conditions should be recorded in the same way.

## ***Part 8. Family Information.***

1. Questions regarding how many brothers, sisters, sons, and daughters the respondent has should not be left blank. If the respondent does not have any brothers (sisters, sons, daughters), please fill in 0. If the question is not applicable to the respondent, please fill in –9.

*2. Family Members.*

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[3] PI's note: in some cities, if a person is a "democratic party membership," this variable is coded as "3." However, this practice is not consistently maintained across cities.

1. Family members include main relatives of the respondent. Information about family members should be complete, even if some relatives have passed away. However, if the relative died before he/she reached age 18, his/her information should be excluded. Suppose one respondent's eldest brother died at age 5, then interviewer should count the second oldest sibling of this respondent as the eldest brother (or sister), and record his (her) information in the table.

2. If the respondent himself (herself) is the eldest child in the family, then record the information on the second oldest child in his (her) family on the line labeled "eldest sibling."

*3. Age.*

If a respondent's relative has passed away, then fill in the age when he/she died, and fill in 1 (1=deceased; 2=still alive) in the column that asks if the person is deceased.

*4. Education.*

The codes for education are identical with the codes designed for these questions in part 2 of this questionnaire. Please convert the educational level before 1949 to the corresponding level used afterward. If the interviewer is not sure how to convert, please write a brief note on the side.

*5. Employment.*

The codes for unit type, ownership, occupation, form of employment, rank, etc., are identical with the codes used for the questions in part 4 and part 5 of this questionnaire. Please fill in the current information of those family members who are still working. If a family member already died, please fill in the information of this member's last job before his/her death. Please refer to part 4 and part 5 of this manual for instruction about how to deal with the case that the respondent started to work before 1949.

## ***Part 9 and 10. Information on Father and Mother.***

*1. Political Status.*

Whether respondent's father/mother is a member of the Communist Party refers to his/her current political status (if the father/mother died, then this refers to his/her political status right before his/her death). If the respondent could not recall the exact year when his (her) father/mother joined the Communist Party, please record an approximate time (such as in the 50s, or during the Cultural Revolution, etc.).

*2. Father/Mother's Work Experiences.*

(1) This section of the questionnaire is similar to those in part 4 and part 5 regarding respondent's own work and job experience. However, the way to record this information is similar to that of part 6 regarding one's income. In other words, there should be no missing information even if the work and job of father/mother did not change across these designated years.

(2) Year. Please first ask when respondent's father/mother started his/her first job. Fill in the exact year in the corresponding cell. Then ask the work and job experience of father/mother in 1965, 1975, 1978, 1986, and 1993. (If one's parents were transferred to work at the gross-roots level during the Cultural Revolution, please use send-down related codes to record their work experience during that period of time. Do not use information about the jobs they had before they were sent-down.)

The year listed in the table have historical significance. Please help the respondent to recall the work experience of his/her parents in these years. If the respondent cannot remember what his/her parents were doing in these specific years, please ask him/her to recall his/her parents' situation in the year that is closest to the originally asked year, and record the exact year reported by the respondent in the line labeled "year." Suppose one respondent does not remember his father's work experience in 1965, but he does know that in the early period of the Cultural Revolution (1967), his father worked on a farm. The interviewer should fill in 1967 on the line of "0902" in the column labeled "year," and record relevant information in other columns.

(3) The codes for unit type, ownership, occupation, form of employment, rank and official position are identical to the codes for the questions in part 4 and part 5 of this questionnaire. These data reflect the information related to father/mother's work in the specified (or the neighboring) year.

(4) If the respondent's father/mother continued to work for pay after retirement (re-employed by his/her original unit, hired by other units, doing private business, etc.), the interviewer should keep recording the relevant information. Suppose one's father has run a private cigarette retail store since his retirement in 1982 until now, then the work experience between 1986 and 1993 of this respondent's father should be recorded as follows:

| Year | Type of Workplace | Ownership | Occupation | Type of Employment | Rank | Position |
|---|---|---|---|---|---|---|
| 86 | 33 | 9 | 73 | 7 | -9 | -9 |
| 93 | 33 | 9 | 73 | 7 | -9 | -9 |

Note: Except for the item "year," nothing else changes in these two records. The interviewer should fill in all information for each year.

## *Part 11-20. Information on Spouse*

1. Questions from Part 11 through Part 20 inquire information about the respondent's spouse. Those respondents who are not married, or whose spouse passed away can skip these questions. If the spouse is at home, the interviewer should interview the spouse himself/herself. If the spouse is not at home, and the respondent is very familiar with information about his/her spouse, then the interviewer can ask the respondent to answer the questions. However, if the respondent is not familiar with his/her spouse's information, the interviewer should make another appointment for a second visit to interview the respondent's spouse.

2. If the respondent got married more than once, please fill in the information of his (her) current spouse.

3. Most of the questions in these sections are identical with the questions about the respondent him/herself. Please refer to the previous corresponding sections for instruction.

   Note: The questionnaire stops asking about the housing condition of the spouse after he/she got married. Also notice that there is a question asking whether the spouse ever worked with the respondent in the same unit.

## *Part 21. Conclusion.*

1. Please thank the respondent and his/he family for cooperation when the interview has been completed.

2. Please fill in the time when the interview is completed. Record the time 24 hours continuously. 1 PM should be recorded as 13, etc..

3. The interviewer must remember to answer the questions regarding the "respondent's attitude of cooperation," "whether the respondent has difficulty in answering the questions." Please fill in your interviewer ID.