

INSTRUCTIONS FOR
SURVEY OF SOCIOECONOMIC OPPORTUNITY AND ACHIEVEMENT
IN SOUTH AFRICA

I. GENERAL INSTRUCTIONS

Response categories, probes, and guesses:

Unless specifically instructed to do so, do not read out all the response categories. Rather, use the response categories as probes. For each question, try to get the best answer you can, even if you have to encourage the respondent to guess. Because each question should be probed until an answer is obtained, instructions to probe are not given for individual questions.

Consistency.

In so far as possible, check responses for consistency as you go. If a respondent gives an answer that is inconsistent with previous answers, question him/her about it. Change the earlier answer if necessary, if the respondent says that his earlier answer was incorrect.

II. TO CHOOSE THE PERSON TO BE INTERVIEWED :

1. Determine the number of households on the stand. Households consist of people who share living space and usually cook together, whether or not they are related.
2. For each household, list all persons age 20 or over who regularly sleep in the household, from the oldest to the youngest. Include all persons who generally stay there at least four nights a week, even if they are not there <today/tonight>. Do not include those away working or going to school or university who only come home on holiday. Indicate the sex of each person listed.
3. Choose the household where the interview is to be conducted by using the grid.

[NOTE : THE FACT THAT MALES WILL BE CHOSEN AT TWICE THE PROBABILITY OF FEMALES DOES NOT MEAN TWICE AS MANY MALES AS FEMALES WILL BE CHOSEN. IF ONE OUT OF THREE ADULTS ON THE STAND IS A MALE, THEN IN THAT STAND MALES AND FEMALES HAVE AN EQUAL CHANCE OF BEING CHOSEN. IF ONE OUT OF THREE PERSONS LIVING ON THE STAND IS A FEMALE, THEN ON THAT STAND MALES HAVE AN 80 PER CENT CHANCE OF BEING CHOSEN AND FEMALES HAVE A 20 PER CENT CHANCE OF BEING CHOSEN.]

4. Go to the household and confirm that your information regarding the household is correct : that all the people who regularly stay there and are 20 years old or older are listed and that no one who does not regularly stay there or is less than 20 years old is listed. If the list is not correct, correct it.
5. Choose the person to be interviewed by using the grid. [NOTE, AGAIN, THAT MALES MUST BE CHOSEN AT TWICE THE RATE OF FEMALES.]
6. Inquire whether the person is available for interview, or make an appointment to return.

III. HOUSEHOLD ROSTER

Households are people who share living space and usually cook together, whether or not they are related. Include all persons who generally stay here at least four nights a week, even if they are not here <today/tonight>.

Start with the household head. If the respondent says there is no single head, start with "one of the people in charge of the household."

Code "relationship to head of household" using the codes in the Code Booklet, p. 2. If there is no single head, code the relationship to the person listed first--"one of the people in charge of the household".

IV. INSTRUCTIONS FOR SPECIFIC QUESTIONS OR SETS OF QUESTIONS.

These are listed in the following order:

- (1) the life history schedules (educational history, activity history, residential history, marital history, and child roster);
- (2) sets of questions;
- (3) specific questions.

1) LIFE HISTORY SCHEDULES

A. Instructions for educational history schedule

1. Code using the codes in the Code Booklet P. 2.
2. Start with the first school the respondent attended. Ask the block of questions under the educational history, following the detailed instructions below.
3. Then go to the second row and repeat.
4. Continue until you have a complete record of the respondent's educational experience.
5. Probe to be sure the respondent tells you everything. Respondents tend to forget short training courses. So, when the respondent finishes, ask if he/she had any other education such as training courses.
6. If the respondent is currently studying, code "99" for year and month of ending date, and "15" for reason year not complete, or interrupting schooling; and code "9" for question on whether year is complete.

EDUCATIONAL HISTORY SCHEDULE: INSTRUCTIONS FOR SPECIFIC QUESTIONS

- a. Year began "spell" of studies. Record the last two digits of the year the respondent began each "spell" of studies.

A "spell" of studies is defined by continuous study at one school or educational institution and, for post-secondary education, a single field of study. Each "spell" is recorded on a single row of the Educational History schedule. A new "spell" begins if

- the respondent changed schools;
- the respondent failed to complete a year, even if he/she returned to the same school the following year to try again;
- the respondent changed his field of study or faculty, even if passed the year and remained at the same institution the following year.

- b. Type of school

Use codes for "Type of Educational institution" in Code Booklet p. 2.

- c. Attended full time or part time?

Attending part time refers to the kind of education done on a part time basis while working or doing something else. It does not refer to attending only part of the year, which is asked in another question (see below).

- d. Standard at start and Standard at end

Record the starting and ending standard for any spell of studies, using the codes in the Code Booklet p.1. The starting standard the respondent was attempting to achieve in the first year of the spell. The ending standard is the standard the respondent was attempting to achieve in the last year of the spell, even if he/she was not successful. If the spell is only one year long, record the same standard for the start and the end.

- e. Year ended "spell" of studies. Record the last two digits of the final year of the spell of studies. If the spell was only one year long--e.g., the respondent started university and failed to pass the first year--record the same year for the end of the spell of studies as for the beginning.

- f. Year complete?

If the respondent passed the highest Standard or level that he/she attempted--that is, completed the year in which his studies ended or were interrupted--code "yes"; otherwise code "no".

g. IF NOT COMPLETE : Reason

Reason for ending or interrupting study

Use codes for "Reason for ending studies" in Code Booklet p.3. These codes apply even if the respondent ended his/her studies only temporarily. If the question is not applicable (e.g., respondent did not end his or her studies, but simply changed schools or repeated a year), code 15.

h. Language of Instruction

Code both items using the "Language" codes in the Code Booklet p.3. Note that "language of instruction" refers to the language in which courses were presented, not to the language the respondent spoke while attending school. If the language of instruction changed over the period being recorded, code the language for the final year. If more than two languages were used, code the language most frequently used (the "main" language) and the language next most frequently used (the "2nd" language). If instruction was in only one language, code 99 for "2nd language".

i. Number of years of maths/physical science/biology/and higher grade English

For each of these four subjects, record the number of years of instruction. Count only instruction between Standard 6 (secondary) and Standard 10 (Form 1 to Form 5). Thus, the highest number of years possible is five. If the respondent did not reach Standard 6 (secondary), code 9. If the respondent had no exposure to a subject between Standard 6 and Standard 10, code zero.

j. University: which?

Code using the codes in the Code Booklet p.3. If the row does not refer to university education, code 99.

k. Field of study

[THIS IS CURRENTLY DESIGNED AS AN OPEN-ENDED QUESTION.]

B. INSTRUCTIONS FOR ACTIVITY SCHEDULE

- 1) Code answers using the codes in the "Coding booklet" p. 4.
- 2) Start with the most recent activity and work backwards.
- 3) Copy the code for the present "Activity" into the left hand column of the top row.
- 4) Ask the respondent when he/she started this activity and record the year and (if known) the month in the second and third columns of the first row.

- 5) If the respondent is currently economically active ("Activity" codes 1-36), ask if he/she is currently studying as well. Then go to the second row and ask what the respondent was doing just before beginning the present activity; code the answer using the codes for "Activity" in the Code Booklet p.4. Then code the year and month this activity began. (Information on the present economic activity is not recorded because it has already been asked.)
- 6) If the respondent is not currently economically active ("Activity" codes 28-33), go to the second row and ask what the respondent was doing just before beginning the present activity; code using the codes for "Activity." Code the year and month this activity began.
- 7) If, for the second row,
 - the response to "Activity" is 01-27 (the respondent was economically active), ask whether the respondent is studying as well. Then ask the block of questions under "IF ECONOMICALLY ACTIVE". Then go to row three and repeat step 6.
 - the response to "Activity" is 28-33 (the respondent was not economically active) or 99 (the respondent does not recall), go to row 3 and repeat step 6.
- 8) Continue this process until you arrive back at the respondent's first job.

ACTIVITY SCHEDULE: INSTRUCTIONS FOR SPECIFIC QUESTIONS.

a. Activity

Use codes for "Activity" in Code Booklet p. 4.

b. Studying while working?

Ask only if the respondent is economically active: activity codes 1-27.

c. Seeking regular job?

Ask only if the respondent is active in the informal economy: activity codes 21-27.

d. Year

Record year. If respondent does not remember, encourage a guess. Refer to the "Chronology" in the Code Booklet to get respondent to identify the approximate date. If he/she does not remember at all, code 9999.

e. Month

Use codes for "Month" in Code Booklet p. 1. If respondent does not remember, code 13.

f. Occupation (open-ended)

Record the name of the occupation and the principal duties. It is very important to get detailed information; please carefully study the examples below, under "Description of job".

g. Type of organization or company (open-ended)

Record the type of organization or company where the respondent worked. It is very important to get detailed information; please carefully study the examples below, under "Description of job".

h. Full time or part time

Code "1" for full time and "2" for part time. If the respondent wants to know what "full time" means, it is 35 hours per week or more; part time is 15 hours per week or more. Anything less than 15 hours per week should not be counted as economic activity.

i. Supervised others?

Did the respondent supervise any other workers? Code "1" if yes, "2" if no. Self-employed persons with employees should be regarded as supervising others. School teachers, social workers, and nurses do not supervise others unless it is other staff: do not count pupils, clients, and patients as persons supervised.

j. Reason left

Use "Reason left job" codes in Code Booklet p. 5.

c. Residential history schedule

On this schedule, you will record the respondent's residential history. When you conduct the interview, record the place names the respondent gives. Then, after the interview is finished (e.g., that evening), code the place names using the Geographical Code Booklet p. 9.

During the interview

- 1) Start with the current residence, and work backwards. The current residence is where the interview is being conducted, even if the respondent thinks of another place as his permanent home.
- 2) Code the year and month the respondent moved to his/her current residence.
- 3) Code type of place using the codes in the Code Booklet p.5.
- 4) Record the Province, Homeland, or TVBC State.
- 5) Record the Magisterial District.
- 6) Record the town or city. If in a rural area or on a commercial farm, record the nearest town.
- 7) Record the suburb or township. If there is no suburb or township (because it is a rural area or commercial farm or because the town is too small), put a horizontal line in the space.
- 8) Code the type of dwelling the respondent moved to, using the codes for "Dwelling type" in the Code Booklet p. 6.
- 9) Code the reason for moving to that place, using the codes for "Reason moved" in the Code Booklet p. 6.

- 10) If the respondent is black, and if he/she moved to the current place of residence before July, 1986, code Section 10 status, using the codes in the Code Booklet p. 7. Otherwise, code "9".
- 11) Go to the second line, and ask when the respondent moved to the place where he/she lived just before his/her current place. "Where he/she lived" is defined as where he/she usually spent at least four nights a week (except for those who work on the road and hence never spend as many as four nights a week in any one place; for such people, record whatever place they think of as their home). Treat every change of dwelling as a separate move, even if it is in the same suburb or township.
- 12) Repeat 3 to 11. If the respondent lived in a foreign country, put dashes in the spaces for "Magisterial District," "Town or City," and "Suburb or Township." If the respondent is not able to answer (e.g., he grew up in a rural area and does not know what town it is near), write "DK".

13) Continue backward to the place of birth.
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D. Marital history

- 1) Ask whether the respondent has been married more than once. If no, simply record the characteristics of the first marriage. If yes, start with the first marriage and record each marriage on successive lines.

"Marriages" are those unions sanctified by church, state, or traditional African custom involving lobola. Do not count informal unions as marriages unless the respondent represents them as such. Exception: do not ever regard gay couples as married even if they wish you to do so.

- 2) Record the date of the marriage and the type of ceremony (using the codes for "Type of ceremony" in the Code Booklet p. 7).

- 3) Ask whether the respondent is still married.

-- If yes (still married), ask whether he/she is living with the spouse.

-- If no (not still married), put a 9 in "If still married" then ask the date the marriage ended and the reason (death or divorce). Take whatever date people give you. Most divorced people will report when they permanently separated, rather than when a divorce decree was granted. If the respondent asks whether you want the date of the separation or the date of the divorce, say you want the date when they became permanently separated or the date when they decided to end their marriage, whichever came later.

- 4a) Black interviews only:

Whether or not the marriage has ended, ask whether the respondent married a second time. Repeat from (2) and continue until all marriages (past and present) are recorded.

- 4b) Other interviews (White, Asian, Coloured):

Only if the marriage has ended, ask whether the respondent married a second time. Repeat from (2) and continue until all marriages (past and present) are recorded.

E. CHILD ROSTER

Note: Do not take information from the Household Roster, since this question is about all the children that have ever been connected to the respondent, including those not currently in the household. Ask the respondent to report on all the children who meet the criteria specified here. If the respondent claims that this roster is redundant with the Household Roster say, yes it is in some cases. But you have to complete the child roster anyway, because in many families the children are no longer living at home.

1) Which children to include?

Women.

- a) All children ever born to the woman, even those who died at birth or who died in infancy.
- b) All other children who ever lived with and were under the care of the woman for at least four months continuously, any time in her adult life. Do include adopted children, step-children, and those cared for informally, even those with other parents. Do not include those who only spent their school holidays with the woman.

Men

- a) All children conceived by the man and acknowledged as his responsibility, whether or not he ever lived with them. Again, include those who died at birth or in infancy.
 - b) All other children who ever lived with and were under the care of the man for at least four months continuously, any time in his adult life. Do include adopted children, step-children, and those cared for informally, even those with other parents. Do not include those who only spent their school holidays with the man.
- 2) Record all the information for the first child, and then go on to the next one. It is best to start with the oldest child and end with the youngest, but it is not absolutely necessary to do this. If a respondent forgets a child, just add it in on the next line; there is no need to erase lines.

Child roster: instructions for specific questions

- 1) Date of birth of child. Record the last two digits of the year of birth, and record the month using the codes in the Code Booklet p.1.
- 2) Biological child? Ask whether the child is the biological child of the respondent, and record. If not, code the relationship to the child using the codes for "Relationship to child" in the Code Booklet p. 7. N/A = 99.

- 3) Married to other parent? Ask if the respondent was ever married to the child's opposite-sexed parent. That is, for male respondents ask whether he was ever married to the child's mother. For female respondents, ask whether she was ever married to the child's father. If yes, go to the marital history schedule on p. 45 and record the line number that contains the information for that spouse. If unsure which is the correct spouse, ask the respondent.
- 4) Child still alive? Ask whether the child is still alive. If not, record year and month of death. N/A = 99
- 5) Lived with both own parents at age 5, age 14? Ask whether the child was living with both his/her biological parents at age 5. Record answer. Then ask the same question for age 14. Record answer. N/A = 9.
- 6) Child now studying? Ask whether the child is currently studying-- that is, attending school, a post-secondary institution, or a training course. N/A = 9.
- 7) Highest educational qualification. Whether or not the child is currently studying, ask what was the highest educational qualification the child has thus far passed. Code using the codes for "highest qualification" in the Code Booklet p. 8. N/A = 99.

2) SETS OF QUESTIONS

Language competence: (How well can people speak, read, write Afrikaans, English, and any other first language?)

Wherever these questions appear, handle them in the following way:

If the respondent's first language is Afrikaans, do not ask whether he/she speaks Afrikaans, but do ask whether he/she reads or writes Afrikaans. Code "5" for "can speak Afrikaans". Ask all three questions about English.

If the respondent's first language is English, do not ask whether he/she speaks English, but do ask whether he/she reads or writes English. Code "5" for "can speak English". Ask all three questions about Afrikaans.

If the respondent's first language is Afrikaans and English equally, do not ask whether he/she speaks English or Afrikaans, but do ask whether he/she reads or writes English and Afrikaans. Code "5" for "can speak Afrikaans" and "can speak English".

If the respondent's first language is neither Afrikaans nor English, ask all eight questions.

Special instructions (respondent's language competence):

For the respondent only, we want to know how well he/she speaks, reads, and writes a Black language even if it is not the first language. For this question, treat "A Black language" in the same way as "Afrikaans" and "English". This is, if the respondent's first language is a Black language, do not ask whether he/she speaks a Black language, but do ask whether he/she reads and writes a Black language. Code "9" for "can speak a Black language" Ask all three questions about both English and Afrikaans.

Exception:

If the answer to any of the language competence questions is obvious, record the answer without asking. For example, if you are conducting an interview in English with a person whose first language was Southern Sotho, and hence know that the person speaks English very well, simply record the code for "very well." If you have any doubt, please ask.

Race/ethnicity of employees, people supervised:

For these questions, "Afrikaners" are Whites whose ancestral language is Afrikaans. "Other Whites" are Whites of any other origin.

Blood siblings :

Blood siblings are those who share a common parent ("half-brothers" and "half-sisters"). Do not count "step-brothers" and "step-sisters" (the children of one's parent's spouse but not of one's own biological parent). Also, do not count cousins even if they are regarded as siblings. But do count siblings formally adopted by one's parent or parents, even though there is no biological connection.

Description of job :

At several places in the interview the same series of questions about work is asked, with minor variations in wording. For example, for respondents, the questions are:

-- What kind of work do/did> you do? What <is/was> your job called?

-- What <are/were> your main duties?

-- What kind of organization or business <is/was> that in? What <do/did> they do, make, or sell at the place where you work<ed>?

Each of these questions is open-ended and requires you to write in the response. It is very important that you get and record detailed and specific, since these answers will be used to code jobs into a classification of about 500 different "occupations" (types of jobs) and about 250 different "industries" (types of workplaces). Thus, you must probe until you get a satisfactory answer.

For the first question ("kind of work"), ask for the name of the job, e.g., "construction labourer", "sales clerk", "clerk-typist", "plumber", "estate agent", or a brief description, e.g., "scavenger of cardboard", "market vendor". Try to get the respondent to be as specific as possible. For example, "head librarian in art library" is better than "librarian"; "rolling mill operator" is better than "steel mill worker". Vague titles such as "teacher", "labourer", "civil servant", "agent", etc., are inadequate. You must get a more detailed description, e.g., "lower primary school teacher", "science teacher in secondary school". For civil servants, ask what their specific job is. For labourers, question closely to determine the skill level, e.g., whether a machine operator and, if so, the kind of machine operated.

For the second question ("main duties"), ask what the job mainly involves. For example, for "sales clerk", a suitable answer would be "sells shoes, waits on customers"; another would be "operates cash register". For an "estate agent", suitable answers would be "sells houses," "sells commercial buildings," "sells farm land", etc. For a "secretary", suitable answers would be "types correspondence," "arranges meetings," "keeps track of boss's schedule," or some combination of these, etc. For a "construction laborer", suitable answers would be "carries bricks to bricklayer at construction site," "digs trenches for foundations," etc. For a "factory worker", suitable answers would be "operates a drill press," "assembles electrical appliances," etc.

For the third question ("kind of organization"), record the type of enterprise/organization/business, e.g., "retail shoe store", "diamond mine", "municipal police department", "private secondary school", "furniture manufacturer", "wholesale meat distributor", "electrical utility company", etc. Do not simply record the name of the company, even for large companies. For government employees, specify the employing government and agency--"government" is inadequate. Instead say "Transkei department of education," "Johannesburg department of health," etc. For those in agriculture (both those running their own farms and farm labourers), indicate the type of crop or livestock. For those in the informal economy, indicate the nature of the business and product, e.g., "fruit stand in front of house," "sell fruit on street," "sell fruit from stall in market," "car repair business on street (no shop)," etc. For household help (maids, gardeners, etc.), put "private household"; but for services provided by an apartment building management, e.g., a cleaning crew, put "apartment building".

Questions regarding the size of land holdings:

The question asks for the number of hectares. The respondent may report the number of acres instead. If so, convert acres to hectares after the interview is over (in the evening). One hectare equals about 2 1/2 acres, so to convert acres to hectares, divide the number of acres by 2.5. If the respondent does not know either the number of hectares or the number of acres, ask him/her to estimate the number of soccer fields. Convert soccer fields to hectares after the interview is over. One hectare equals about 1 1/3 soccer fields. So, to convert soccer fields to hectares, multiply the number of soccer fields by three and then divide by four. If they cannot give a numerical estimate at all, ask them to tell you whether the land holding was "large," "average size," or "small."

Earnings:

Ask the respondent how much he earns per year from his main job or economic activity. If he is unsure of the amount per year, ask the amount per month. If he is unsure of the amount per month, ask the amount per week. Record the code for the amount. Then record whether the amount given is per week, per month, or per year. If the respondent is unable or reluctant to give an exact amount, probe using the listed categories. For literate respondents, show them the Income Schedule card in the Code Booklet and ask them to tell you the code number corresponding to their best guess.

Income Schedule

<u>Per week</u>	<u>Per month</u>	<u>Per year</u>	<u>Code</u>
None	None	None	01
<R25	<R104	<R1.250	02
R25 - 49	R104 - R207	R1.250 - 2.499	03
R50 - 99	R208 - R415	R2.500 - 4.999	04
R100 - 149	R416 - R624	R5.000 - 7.499	05
R150 - 199	R625 - R832	R7.500 - 9.999	06
R200 - 299	R833 - R1.249	R10.000 - 14.999	07
R300 - 399	R1.250 - R1.666	R15.000 - 19.999	08
R400 - 499	R1.667 - R2.082	R20.000 - 24.999	09
R500 - 599	R2.083 - R2.499	R25.000 - 29.999	10
R600 - 699	R2.500 - R2.916	R30.000 - 34.999	11
R700 - 799	R2.917 - R3.332	R35.000 - 39.999	12
R800 - 899	R3.333 - R3.749	R40.000 - 44.999	13
R900 - 999	R3.750 - R4.166	R45.000 - 49.999	14
R1.000 - 1.199	R4.167 - R4.999	R50.000 - 59.999	15
R1.200 - 1.399	R5.000 - R5.832	R60.000 - 69.999	16
R1.400 - 1.599	R5.833 - R6.666	R70.000 - 79.999	17

R1.600 - 1.799	R6.667 - R7.499	R80.000 - 89.999	18
R1.800 - 1.999	R7.500 - R8.332	R90.000 - 99.999	19
R2.000 - 2.999	R8.333 - R12.499	R100.000 - 149.999	20
R3.000 - 3.999	R12.500 - R16.666	R150.000 - 199.999	21
R4.000 - 5.999	R16.667 - R24.999	R200.000 - 299.999	22
R6.000 or more	R25.000 or more	R300.000 or more	23
<i>Don't know</i>			24
<i>Refused</i>			25

Birth date:

If the respondent is unsure, encourage a guess. Ask for age: "Well, is he still alive?" IF SO, "How old is he now?" IF NOT, "How old was he when you were born?" OR "About how old was he when you were growing up?" "Can you connect the time he was born to an historical event?", etc.

3) Individual questions

For the questions, "Did other relatives...", do not count spouse as a relative. E.g., if a woman's husband paid her university fees, say "no" in response to whether "other relatives" paid.

Household help help includes any service person who comes on a regular basis to help care for the household. Count all live-in or full-time servants, such as maids, cooks, butlers, valets, nursemaids, chauffeurs, etc. Also count persons who come periodically (every other week, every week, or several days a week), such as cleaning persons, gardeners or yard men, swimming pool service men, etc.

AGREEMENT

MEMORANDUM OF AGREEMENT MADE AND ENTERED INTO BY AND BETWEEN:

HUMAN SCIENCES RESEARCH COUNCIL

and

PROF. D. TREIMAN (USA), PROF. L. SCHLEMMER & DR. S. MOENO (SA)

A. RECITAL

As the HUMAN SCIENCES RESEARCH COUNCIL (HSRC) (through its Group for Information and Dynamics), possesses the infrastructure and knowledge to launch a comprehensive and integrated sample survey of all population groups in South Africa on the topic of socio-economic opportunity and achievement and is prepared to conduct the research in this regard, and as Prof D.J. Treiman, Prof L. Schlemmer and Dr S.N. Moeno (Principals) requires such comprehensive research information and has the necessary funds to have the research conducted, the Parties agree to the terms set out below.

B. AGREEMENT

1. RECITAL INCLUDED IN AGREEMENT

The recital to this Agreement shall form part of this Agreement as if specifically mentioned herein.

2. DEFINITIONS

2.1 Agreement

The Agreement entered into by and between the Parties as defined further on herein.

2.2 The Parties

The HSRC and Principals throughout.

2.3 HSRC

The Human Sciences Research Council, a statutory body incorporated in terms of the provisions of Act 23 of 1968, with its head office at the following address:

HSRC Building
134 Pretorius Street
PRETORIA.

2.4 Principals

- (1) D.J. Treiman
Department of Sociology
University of California
LOS ANGELES
- (2) L. Schlemmer
Centre for Policy Studies
University of Witwatersrand
JOHANNESBURG
- (3) Dr. S.N. Moeno
Strategic Planning Group
ESKOM

2.5 Effective date

1990-11-19. This agreement shall come into effect on the effective date, notwithstanding the date of signature of the Agreement by the Parties.

2.6 Schedule of Research

Schedule (from November 1990)

November, 1990. Pilot study field work and data preparation.

November 30. Pilot study results available for Principals.

November 30 to mid-December 14. Principle completes revision of questionnaire on basis of analysis of pilot study; small additional data collection carried out during this period to test revised questionnaire.

HSRC prepares sampling specifications.

15 January - 15 February 1991. One or two pilot studies as necessary.
(30 interviews, each) *DF*

March 1991 - Fieldwork: Asian Coloured and Whites.

July 1991 - Preliminary unweighted analysis - ready tape for White, Asian and Coloured samples.

September 1991 - Fieldwork: Blacks.

January 1992 - Analysis-ready tape, complete with weights, plus documentation (record layout (codebook) unweighted and weighted univariate frequencies for all variables, sample description, etc.) available. One copy each to ^{*arch DF*} Principal; copy deposited in HSRC data archive, with access requiring written permission principals.

January 1994. Data enter public domain and may be used freely by any researcher.

3. APPOINTMENT

The principals hereby appoint the HSRC to conduct the investigation as set out in Addendum I.

4. AIM OF INVESTIGATION

The aim of the investigation is to examine the patterns of inter-and intra-generational mobility within the major ethnic and racial groups of South Africa.

5. SURVEY DESIGN

As set out in Addendum I.

6. STEERING COMMITTEE

No Steering Committee is appointed.

7. REPORTING

As agreed in Clause 2.6 supra.

8.1 Total Cost R620 000 (for a sample size of 6 900)

(a) R380 000 from Witwatersrand Foundation account L139;

(b) R240 000 from the U.S. National Science Foundation, currently being held in account at the University of California at Los Angeles.

8.2 The R620 000 in funds external to HSRC will transferred to HSRC according to the following schedule, in payment for the work outlined in the remaining sections:

8.3 The cost of additional interviews will be R100 each, with a maximum of 7 700, contingent on additional funding.

8.4 Payment Schedule

1. Allocation of R620 000 is as follows:

-Pilot study= R 32 000

-Main study = R588 000

2. The amount for the study is payable in the following manner:

Pilot Study (R32 000) : 28 February 1991.

-50 % (R294 000) : July 1991 - After receiving of preliminary tape on White, Coloured and Indian samples.

-50 % (R294 000) within 30 days after presentation of data.

- 8.5 Any fees not paid promptly on the due date shall bear interest at a rate that is equal to the rate announced from time to time in terms of the Prescribed Rate of Interest Act, 1975 (Act No. 55 of 1975). The interest rates shall be calculated as applicable on the date of default, and shall be payable from the date on which the fees were due until the date on which they are actually paid.

9. GENERAL

9.1 Copyright

- The copyright in the report and the research findings shall be determined in terms of the provisions of the Copyright Act, 1978 (Act No. 99 of 1978), as amended from time to time.

9.2 Renunciation

No extension of time, concession or renunciation of any rights by one Party in favour of the other Party shall affect any other provision of this Agreement.

9.3 Default

If any Party fails to honour his obligations in terms of this Agreement and such default continues for 14 (fourteen) days after receipt of a written notice from the other Party to remedy such default, the other Party shall be entitled to cancel this Agreement without further notice without prejudicing any of the other Party's alternative or additional remedies.

9.4 Domicile

The Parties hereby choose and assign as domicilia citandi et executandi for the purpose of addressing correspondence and for serving notices and pleadings resulting from this Agreement the addresses set out in Clause 2 supra or as amended from time to time.

9.5 Representations

The Parties admit that no representations that led to the conclusion of this contract other than those contained in this Agreement have been made.

9.6 Arbitration

In the case of a dispute that may develop between the Parties on the basis of the provisions in this Agreement, the Parties may agree in writing to have the dispute settled by means of arbitration in terms of the provisions of the Arbitration Act, 1965 (Act No. 42 of 1965). An arbitrator shall be appointed for this purpose on agreement by both Parties. The Parties hereby agree that the arbitrator's decision with regard to the dispute mentioned shall be final and binding. Each of the Parties shall bear its own costs in respect of any such arbitration.

9.7 Deferment of performance

If, owing to circumstances beyond the control of the HSRC, it is not possible to submit reports as stated in this Agreement, or if it becomes impossible for the HSRC to fulfil any other obligations in terms of this Agreement, the Parties hereby agree that the HSRC shall be granted permission to defer performance for such a period as is reasonable required under the circumstances to fulfil the necessary obligations. The HSRC shall give notice in writing of the impossibility to perform, furnish the reason for this and estimate the expected duration of the deferment period. In exchange for this concession the Principals shall be entitled to delay payment of the fees as required in Clause 8 hereof until the performance by the HSRC has taken place.

9.8 Interpretation

Unless the context reveals otherwise, the provisions of the Interpretation Act, 1957 (Act No. 33 of 1957) shall apply in this Agreement in cases of doubt as to the interpretation of a provision of this Agreement.

9.9 Headings

The headings used in this Agreement are included only for the purpose of easy reference and do not form part of this Agreement.

9.10 South African Law

The South African Law shall apply in this Agreement and the Parties hereby agree that, save as provided by Clause 9.6 of this Agreement and depending on the choice of the HSRC, the Pretoria Magistrate's Office or the Supreme Court of the Transvaal Provincial Division shall have jurisdiction in any dispute.

9.11 Entire Agreement

This Agreement constitutes the entire Agreement between the Parties and no change, disclaimer, deletion or addition hereto shall be valid unless it is put in writing and signed by both Parties.

10 SIGNATURE

This Agreement is signed as follows on behalf of and for the Parties:

10.1 HSRC

By *Deon Herbst*

In his capacity of *Manager* and who guarantees that he is duly authorised thereto.

THUS DONE AND SIGNED at *Pretoria*

on this *14th* day of *December 1990*

AS WITNESSES:

.....

10.2 The Principals

10.2.1 By *Donald*

In his capacity of *Principal Investigator / Professor of Sociology, University of California at Los Angeles*

10.2.2 By *Ally*

In his capacity of *Co-investigator / Director of Centre for Policy Studies*

10.2.3 By

In his capacity of

and who guarantee that they are duly authorized thereto.

THUS DONE AND SIGNED at

on this day of

AS WITNESSES:

.....

.....

SURVEY DESIGN

ADDENDUM

I. Funding/sample size and characteristics

1. With current funding (R620,000 contributed by the research team, to cover the cost of the November 1990 pilot survey as well as the main survey), the sample size will be 6,900 for an interview of one hour in length.

2. Additional interviews will be conducted at R100 each, to a maximum of 7,700, contingent on additional funding.

3. Interviews in White, Asian, and Coloured areas will be conducted in the fall of 1991 (around March) and interviews in Black areas will be conducted in the spring of 1991 (around August or September).

4. At the discretion of HSRC, and at no additional cost, all interviews may be conducted as late as the spring of 1991 (around August or September).

5. Probability samples will be designed by Prof. Stoker according to the specifications agreed to in our meeting of December 2, that is, a sample of 7,700 designed in such a way as to be reduced to 6,900 if no additional funding is forthcoming, or to somewhere between 7,700 and 6,900 if only partial additional funding is available (see below).

6. The sample of White, Asian, and Coloured areas will be designed first, and the sample of Black areas will be designed subsequently. The sampling frame will be based on the the 1985 Population Census estimates. If the small area data from the 1991 Census (the C-tapes) are available in time, they will be used to design the Black sample; if the C-tapes are not available, other more recent data will be utilized insofar as possible.

7. There will be no separate charge by HSRC for one or two pilot studies in addition to the main--November, 1990--pilot study. These additional pilot studies, of no more than 30 interviews each, will be conducted early in 1991. The main pilot sample consists of 210 interviews (30 in White areas, 30 in Asian areas, 30 in Coloured areas, and 120 in Black areas, chosen to cover a variety of respondent types).

8. The sample breakdown worked out in the December 2 meeting is shown below, together with the sample breakdown to be used in the event that the sample size is reduced to 6,900:

Total	7,700	6,900
<u>Urban general</u>		
White areas	2,500	2,200
Asian areas	800	700
Coloured areas	800	700
Black areas	2,500	2,200

Rural

TVBC + homelands	400	400
Commercial farms	100	100
Laborers on commercial farms	100	100

Special black

Elite areas	400	400
Mine hostels	100	100

9. Sampling will consist of three steps:

a) Selection of a stand or, for areas without stands (squatter settlements), of a dwelling unit, as far as possible randomly with probability proportionate to size.

b) For areas with stands, selection of a dwelling unit on the stand, randomly. In Black areas, all dwelling units on the stand have an equally probability of being selected. In White, Asian, and Coloured areas, the selection grid is to be designed such that on one of five multiple-household stands both the main dwelling unit and the secondary dwelling unit (or one of the secondary dwelling units, chosen randomly) will be selected. The point of this is to produce small samples of servants and tenants.

c) Within each dwelling unit, selection of an individual to be interviewed, randomly, among adults age 20 and over, but with males sampled at twice the rate of females.

10. Post-hoc weighting. Post-hoc weighting of the data will be carried out using the C-tapes (small area estimates) of the 1991 South African census, which are expected to be available in June, 1991. Two weights will be created for each respondent: one to produce a representative sample of each population group, and the other to produce a representative sample for all population groups combined. In each case, the weights will be designed to produce representative samples for all of Southern Africa (that is, including the homelands and TVBC states).

II. Questionnaire and field work

1. The questionnaire will have a maximum average length of one hour (when administered in English or Afrikaans); it will include educational, residential, and work histories, and extensive questions about the economic activity of the respondent, spouse, siblings, parents, and grandparents. The questionnaire will be drafted by Treiman, in consultation with the other members of the research team and the MarkData staff.

2. Call backs. If the selected respondent is not available to be interviewed on the spot, three call backs will be made, after which the stand (or where there are no stands, dwelling) to the right or left will be substituted. The entire screening, selection, and interviewing process will be repeated, including three call backs. If this effort results in no interview, the effort will be abandoned. Special replacement procedures will be developed for the White area sample, to cope with the fact that refusals tend to be substantially higher than for other groups.

3. Language

a) The questionnaire is to be translated into three languages: Afrikaans, Southern Sotho, and Zulu.

b) The questionnaires are to be independently back-translated into English; the results compared with the original English; and the translations modified accordingly. Prof. Schlemmer will be

responsible for the back-translations. But the questionnaires must be provided to him in a timely way.

c) A multi-lingual interview schedule is to be designed, with the full questionnaire, including space for coding responses on the right hand page of each pair of facing pages and Afrikaans, South Sotho, and Zulu translations on the left hand page.

d) A multi-lingual coding booklet is to be created, with response categories to questions shown as necessary.

e) Responses to open-ended questions are to be recorded in English in the field or recorded in the language of the interview and translated into English by the interviewer.

4. Open-ended questions

a) Occupation/principal duties/type of organization. These questions are to be asked in an open-ended way, for respondent's current job and work history; spouse's job; respondent's and spouse's father's job; father's father's job; mother's job; and job of sibling closest in age. Each of these sets of responses will be captured verbatim on computer tape, to be coded by Treiman. That is, the exact wording recorded by the interviewer (or, in the case of responses recorded in languages other than English, an exact English translation of it) will be captured.

b) Residence. These questions to be asked in an open-ended way, for respondent's current place of residence and residential history; father's place of birth; mother's place of birth; father's father's place of birth; and current place of residence of sibling closest in age. The responses are then to be coded by the interviewers each evening, using the 1991 geographical coding manual of the Central Office of Statistics, modified as necessary. Geographical information will be recorded down to the level of the suburb or township, or, where there are no suburbs, to the level of the town or nearest town.

c) Other. There may be a small number (<10) of other open-ended questions. In addition, some questions include "Other (specify)" responses. All open-ended responses, identified by record number, will be provided to Treiman, verbatim or in a verbatim English translation, in a Word Perfect or ASCII file.

5. Instruction manual and interviewer training. Because of the complexity of the questionnaire, and the novelty of life history questions in HSRC's experience, Treiman will draft an instruction manual for interviewers (to reach HSRC by January 15, 1991). HSRC will undertake to provide exceptionally careful training of interviewers--including, in particular, practice in administering the life history questions. Full fledged training, using the instruction manual, will be provided interviewers prior to each of the additional pilot studies.

6. Data products (in addition to items mentioned above)

a) Treiman will be sent (by international express mail) copies of the completed interviews from each of the additional pilot studies, to enable him to analyze the results and modify the questionnaire.

b) Each of the three principal investigators (Treiman, Schlemmer, and Moeno) will receive one copy of the computer tape containing the data from the main data collection and one copy of the codebook and other documentation.