

本报告的分析采用了各种数据来源，主要包括如下几类：

- 国家统计局农村和城市家庭调查的数据；
- 为本项目的贫困评估而进行的特殊目的的村级调查；
- 中国社会科学院人口与劳动经济所进行的中国城市劳动力调查；
- 中国社会科学院社会学所为本项目的贫困评估而进行的 2006 年贫困定性研究；
- 其他第二手信息。

本附录将提供这些数据来源的某些细节信息。

### 城市和农村家庭调查（国家统计局）

由于和国家统计局达成的工作合作协议，我们的贫困评估小组获得了国家统计局农村和城市家庭调查特定年份的单元记录数据，还有，合作还包括从事这些调查的国家统计局的官员们在和本小组一起工作，从而对于调查有间接的接触。贫困评估的分析工作特别参考了如下数据表：

- 2003 年农村家庭调查的完整家庭调查数据；
- 具有全国代表性的纵向（面板）调查数据表，来自 2001、2003 和 2004 年的农村家庭调查，专门为本项目的贫困评估而构建；
- 2003 年城市家庭调查的完整家庭调查数据；
- 2001 和 2004 年城市家庭调查的子数据库；
- 2004 年城市家庭调查短表的完整家庭调查数据。

#### 2003 年农村家庭调查

中国的农村家庭调查每年由国家统计局针对全国范围的农村地区的家庭进行。为开展贫困评估，2003 年农村家庭调查包括了 68 183 个家庭，涉及 31 个省的 863 个县。贫困评估采用了家庭层次和个人层次的数据，此外分析中还利用了某些村级变量。

值得注意的是，农村家庭调查的对象除了那些每年留在家中的时间超过 6 个月之外，也包括从农村地区外出的移民工人，他们在家乡之外就业超过 6 个月以上，但是把大部分收入带回家，在经济上和家庭是一体的。

#### 来自 2001 年、2003 年和 2004 年的农村家庭调查的纵向数据

为进行贫困评估，特别构建了一个纵向（面板）数据库。面板数据是年度农村家庭调查的子集，但是具有全国范围的代表性，涉及农村家庭调查中覆盖的 847 个县（不包括西藏）中的 386 个，共有 25 987 个家庭。特别是，面板数据包括了农村家庭调查覆盖的所有 199 个指定贫困县，以及 648 个非贫困县中的 187 个。187 个非贫困县是随机抽取的，样本的权重进行了适度调整，以确保全国范围的代表性。

#### 2003 年城市家庭调查

与农村家庭调查类似，中国也对城市地区的家庭开展城市家庭调查。本贫困评估采用了 2003 年的城市家庭调查的全部样本，涉及全国范围的 49 327 个家庭，分为 226 个样本单位，来自 146 个城市和 80 个县城。贫困评估采用了家庭层次和个人层次的数据。

传统上，城市家庭调查只包括在当地登记的居民，从而把全部外来人员都排除在外。近年来，国家统计局放松了这项限制。如今，在原则上，除了城市或县城的居委会中登记的永久居民城市家庭外，城市家庭调查也包括那些户籍在其他地方但在被调查的居委会所在地居住了 6 个月及以上的人员。在实践中，人们担心城市家庭调查对外来人口的覆盖不足。例如，2003 年城市家庭调查中，非本地户口或农村户口的样本所占的比重只有 2.8%，大大低于其他调查反映出来的城市外来人口的比重。

### 2001 和 2004 年城市家庭调查的子数据库

贫困评估还利用了 2001 和 2004 年城市家庭调查的子数据库，2001 年的子样本包含 17000 个家庭，2004 年的则包含 10938 个。

### 2004 年城市家庭调查短表

该调查的完整名称是“2004 年城市家庭基本情况调查”，覆盖了 251 765 个家庭，并作为次年的城市家庭调查的样本框架。该调查是城市家庭调查的简化版，包括的信息有住房条件、耐用消费品的拥有以及包含人口结构和就业等个人信息的家庭成员名册，此外还涉及家庭收入和支出的信息。然而，表中只有一个问题涉及家庭收入（调查的是 2003 年的收入），因此，本调查得到的收入估计可能不及普通的城市家庭调查的结果准确。

但很明显，城市家庭调查短表包含家庭参加城市低保项目和受益情况的问题，给本研究提供了有价值的资料。另外还包括让家庭自己报告收入充足程度的问题，可以用于估计主观的贫困线和贫困率。

### 2004 年世界银行和国家统计局进行的特殊目的的村级调查

专门为了贫困评估的目的，国家统计局农村调查队在 2005 年进行了一次特殊目的的村级调查。调查的大部分数据都是针对 2004 年。调查具有全国范围的代表性，覆盖了 386 个县村子，与 2001 年、2003 年和 2004 年农村家庭调查的纵向数据库涉及的范围一样。

该调查包含四个部分：（1）基本信息（人口统计、社会保障项目、补贴贷款项目、村级财政、治理、学校和诊所、地方税、当地工资水平、自然灾害、人类发展指数、基础设施、家庭迁移和土地征用）；（2）2001~2004 年的村级公共投资；（3）村级扶贫项目的信息；（4）土地承包调整的信息以及村里有关土地调整的政策。

调查得到的村级数据与 2001 年、2003 年和 2004 年农村家庭调查的纵向数据库合并，然后专门用于分析村级投资项目的效果。

## 中国城市劳动力调查

中国城市劳动力调查是中国社会科学院人口与劳动经济所在 2001 年和 2005 年进行的跨部门重复调查，与国际学者合作，并得到了世界银行、福特基金会、密歇根州立大学以及哈佛维瑟赫德国际事务中心（**Harvard Weatherhead Center for International Affairs**）的支持。第一次调查在 2001 年秋完成，包括 5 个大城市的城市居民家庭和个体迁移劳动力调查。第二次调查是在 2005 年夏完成，包括同样的 5 个大城市的城市居民家庭和迁移家庭调查，另外还有 7 个较小的城市的迁移家庭调查，而这 7 个城市的城市居民家庭调查曾经在 2004 年被人口与劳动经济研究所的社会保障调查覆盖。在这 7 个城市中，5 个靠近前述的 4 个大城市。大小城市结成 5 对组合，分别位于全国的不同区域。上海和无锡（江苏省）位于沿海的长江三角洲；武汉和宜川位于中部的湖北省；沈阳和本溪位于东北；福州和珠海位于东南部的福建省和广东省；西安和宝鸡位于西北的陕西省。其余的 2 个城市分别是黑龙江省的富产石油的大庆，以及靠近香港，以劳动力市场开放、移民工人众多、私人企业发达著称的广东省的深圳。为了进行贫困评估，大小城市的对比一般都限制在同一地区的 5 组大小城市之间。

在每个城市，都通过两阶段的程序独立地挑选出具有代表性的本地居民和外来人员样本。根据调查上一年（2000 年和 2004 年）每个居委会的本地居民人口数据，利用概率比例规模抽样法（**probability proportionate to size, PPS**）在每个城市选出固定数量的居委会。2004 年，各城市关于每个居委会中居住的外来人员数量的信息很有限，利用居委会工作人员对于人口状况的估计，对外来人员和本地居民的相对比例的误差进行了加权调整。这些工作人员还帮助构建了更新后的家庭名录，以作为抽样框架。居委会工作人员通常很清楚在当地居住的未登记的外来人员，特别是那些做小生意的人。接下来，在每个居委会随机选出固定数量的家庭作为样本。在大城市，第一次（第二次）调查中包括了 600（500）个本地家庭和 500 个外来人员（外来家庭）。其他城市的这两类家庭的样本规模每类均为 400 或 500 个。调查详细记录了每个家庭的所有成年人的工作历史和其他信息。

除了收集非常具体的信息外，这项调查的一个优势在于，对于外来人员（包括来自农村和城市的）和本地居民采用了同样的方式，并且在每个城市收集了足够的观测值，足以计算全市的总体情况。两个缺陷在于，对于 5 个较小的城市，外来人员的调查是在 2005 年做的，而本地居民是在 2004 年，削弱了可比性，外来人员的样本构建主要依靠居委会，因此，未登记的、居住在集体宿舍（如工作单位提供的宿舍）的外来人员可能没有很好地被包括在内。

## 2006 年的贫困定性分析

2006 年的贫困定性分析评估是中国社会科学院社会学所支持贫困评估而开展的，该研究在 6 个省的 12 个村子进行，每个省 2 个村。6 个省分别是甘肃、内蒙古、四川、云南、江西和江苏。实地调查是在 2006 年 2~4 月完成，定性研究关注如下一些问题：

- 首先，农村社区的村民，贫困人口与非贫困人口，男性和女性如何看待本社区的贫困？从他们的角度来看，导致贫困或者帮助扶贫的最重要的因素有哪些？村民们对贫困的认识与政府界定的贫困线存在多大差距？

- ❑ 第二, 村级投资项目或者农业产业化政策等外来的扶持措施是否能更有效地扶贫, 或者说需要哪些条件? 这对解决中国的扶贫是个重要的现实问题。
- ❑ 第三, 相关的农村政策, 例如正在实施的教育和医疗政策, 在多大程度上特别有助于减轻农村社区的贫困?
- ❑ 第四, 农村社区和家庭如何制定家庭战略以及利用自身资源脱贫? 这些努力的成败情况如何?
- ❑ 最后, 劳动力迁移在多大程度上能成为贫困家庭脱贫策略的一部分? 贫困家庭在多大程度上利用劳动力迁移作为改善生活水平的策略? 还有, 劳动力迁移给农村社区、农业生产和移民自身带来的结果如何?

该研究利用了各种研究方法, 包括关键信息访谈、核心小组讨论、家庭访谈、生活历史、生活评估阶梯法、参与度观察和二手资料收集等。作为研究的一部分, 社会所提交了一份全国性的综合报告和 12 个村子的独立案例分析。

### 来自二手资料的数据和信息

最后, 贫困评估还利用了来自二手资料的各种数据和信息, 包括国家统计局的《中国统计年鉴》、《农村家庭调查年鉴》, 以及国家统计局的若干统计公报。此外, 贫困评估还利用了来自若干部委的统计报告和信息。

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世界银行驻中国代表处  
中国北京建国门外大街 1 号国贸大厦 2 座 16 层 (100004)  
电话：(86-10) 5861-7600