

**02 INFORMATION ABOUT PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS(PI/PD) and
co-PRINCIPAL INVESTIGATORS/co-PROJECT DIRECTORS**

Submit only ONE copy of this form for each PI/PD and co-PI/PD identified on the proposal. The form(s) should be attached to the original proposal as specified in GPG Section II.C.a. Submission of this information is voluntary and is not a precondition of award. This information will not be disclosed to external peer reviewers. **DO NOT INCLUDE THIS FORM WITH ANY OF THE OTHER COPIES OF YOUR PROPOSAL AS THIS MAY COMPROMISE THE CONFIDENTIALITY OF THE INFORMATION.**

PI/PD Name: Christine B Avenarius

Gender: Male Female

Ethnicity: (Choose one response) Hispanic or Latino Not Hispanic or Latino

Race:
(Select one or more)

American Indian or Alaska Native

Asian

Black or African American

Native Hawaiian or Other Pacific Islander

White

Disability Status:
(Select one or more)

Hearing Impairment

Visual Impairment

Mobility/Orthopedic Impairment

Other

None

Citizenship: (Choose one) U.S. Citizen Permanent Resident Other non-U.S. Citizen

Check here if you do not wish to provide any or all of the above information (excluding PI/PD name):

REQUIRED: Check here if you are currently serving (or have previously served) as a PI, co-PI or PD on any federally funded project

Ethnicity Definition:

Hispanic or Latino. A person of Mexican, Puerto Rican, Cuban, South or Central American, or other Spanish culture or origin, regardless of race.

Race Definitions:

American Indian or Alaska Native. A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

Asian. A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American. A person having origins in any of the black racial groups of Africa.

Native Hawaiian or Other Pacific Islander. A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

White. A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

WHY THIS INFORMATION IS BEING REQUESTED:

The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PIs/PDs. To gather information needed for this important task, the proposer should submit a single copy of this form for each identified PI/PD with each proposal. Submission of the requested information is voluntary and will not affect the organization's eligibility for an award. However, information not submitted will seriously undermine the statistical validity, and therefore the usefulness, of information received from others. Any individual not wishing to submit some or all the information should check the box provided for this purpose. (The exceptions are the PI/PD name and the information about prior Federal support, the last question above.)

Collection of this information is authorized by the NSF Act of 1950, as amended, 42 U.S.C. 1861, et seq. Demographic data allows NSF to gauge whether our programs and other opportunities in science and technology are fairly reaching and benefiting everyone regardless of demographic category; to ensure that those in under-represented groups have the same knowledge of and access to programs and other research and educational opportunities; and to assess involvement of international investigators in work supported by NSF. The information may be disclosed to government contractors, experts, volunteers and researchers to complete assigned work; and to other government agencies in order to coordinate and assess programs. The information may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records", 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records", 63 Federal Register 268 (January 5, 1998).

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PI/PD Name: Jeffrey C Johnson

Gender: Male Female
Ethnicity: (Choose one response) Hispanic or Latino Not Hispanic or Latino

Race:
(Select one or more)
 American Indian or Alaska Native
 Asian
 Black or African American
 Native Hawaiian or Other Pacific Islander
 White

Disability Status:
(Select one or more)
 Hearing Impairment
 Visual Impairment
 Mobility/Orthopedic Impairment
 Other
 None

Citizenship: (Choose one) U.S. Citizen Permanent Resident Other non-U.S. Citizen

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List of Suggested Reviewers or Reviewers Not To Include (optional)

SUGGESTED REVIEWERS:

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REVIEWERS NOT TO INCLUDE:

COVER SHEET FOR PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION

PROGRAM ANNOUNCEMENT/SOLICITATION NO./CLOSING DATE/if not in response to a program announcement/solicitation enter NSF 04-23					FOR NSF USE ONLY	
PD 98-1390			08/01/05		NSF PROPOSAL NUMBER	
FOR CONSIDERATION BY NSF ORGANIZATION UNIT(S) (Indicate the most specific unit known, i.e. program, division, etc.)					0525023	
BCS - CULTURAL ANTHROPOLOGY, SES - LAW AND SOCIAL SCIENCES						
DATE RECEIVED	NUMBER OF COPIES	DIVISION ASSIGNED	FUND CODE	DUNS# (Data Universal Numbering System)	FILE LOCATION	
02/09/2005	1	04040000 BCS	1390	607579018	04/06/2015 11:02am S	
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)		SHOW PREVIOUS AWARD NO. IF THIS IS <input type="checkbox"/> A RENEWAL <input type="checkbox"/> AN ACCOMPLISHMENT-BASED RENEWAL		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> IF YES, LIST ACRONYM(S)		
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NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE			ADDRESS OF AWARDEE ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE			
East Carolina University			East Carolina University			
AWARDEE ORGANIZATION CODE (IF KNOWN)			Office of Sponsored Programs			
0029231000			Greenville, NC. 278584353			
NAME OF PERFORMING ORGANIZATION, IF DIFFERENT FROM ABOVE			ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING 9 DIGIT ZIP CODE			
PERFORMING ORGANIZATION CODE (IF KNOWN)						
IS AWARDEE ORGANIZATION (Check All That Apply) (See GPG II.C For Definitions)		<input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> FOR-PROFIT ORGANIZATION		<input type="checkbox"/> MINORITY BUSINESS <input type="checkbox"/> WOMAN-OWNED BUSINESS		<input type="checkbox"/> IF THIS IS A PRELIMINARY PROPOSAL THEN CHECK HERE
TITLE OF PROPOSED PROJECT China and the Rule of Law: Conceptions of Fairness and Justice in Times of Change						
REQUESTED AMOUNT \$ 115,811		PROPOSED DURATION (1-60 MONTHS) 24 months		REQUESTED STARTING DATE 02/01/06		SHOW RELATED PRELIMINARY PROPOSAL NO. IF APPLICABLE
CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW						
<input type="checkbox"/> BEGINNING INVESTIGATOR (GPG I.A)			<input type="checkbox"/> HUMAN SUBJECTS (GPG II.D.6)			
<input type="checkbox"/> DISCLOSURE OF LOBBYING ACTIVITIES (GPG II.C)			Exemption Subsection _____ or IRB App. Date _____			
<input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION (GPG I.B, II.C.1.d)			<input type="checkbox"/> INTERNATIONAL COOPERATIVE ACTIVITIES: COUNTRY/COUNTRIES INVOLVED (GPG II.C.2.j)			
<input type="checkbox"/> HISTORIC PLACES (GPG II.C.2.j)						
<input type="checkbox"/> SMALL GRANT FOR EXPLOR. RESEARCH (SGER) (GPG II.D.1)						
<input type="checkbox"/> VERTEBRATE ANIMALS (GPG II.D.5) IACUC App. Date _____			<input type="checkbox"/> HIGH RESOLUTION GRAPHICS/OTHER GRAPHICS WHERE EXACT COLOR REPRESENTATION IS REQUIRED FOR PROPER INTERPRETATION (GPG I.G.1)			
PI/PD DEPARTMENT Anthropology			PI/PD POSTAL ADDRESS			
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			Greenville, NC 278584353			
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CO-PI/PD						
CO-PI/PD						
CO-PI/PD						

CERTIFICATION PAGE

Certification for Authorized Organizational Representative or Individual Applicant:

By signing and submitting this proposal, the individual applicant or the authorized official of the applicant institution is: (1) certifying that statements made herein are true and complete to the best of his/her knowledge; and (2) agreeing to accept the obligation to comply with NSF award terms and conditions if an award is made as a result of this application. Further, the applicant is hereby providing certifications regarding debarment and suspension, drug-free workplace, and lobbying activities (see below), as set forth in Grant Proposal Guide (GPG), NSF 04-23. Willful provision of false information in this application and its supporting documents or in reports required under an ensuing award is a criminal offense (U. S. Code, Title 18, Section 1001).

In addition, if the applicant institution employs more than fifty persons, the authorized official of the applicant institution is certifying that the institution has implemented a written and enforced conflict of interest policy that is consistent with the provisions of Grant Policy Manual Section 510; that to the best of his/her knowledge, all financial disclosures required by that conflict of interest policy have been made; and that all identified conflicts of interest will have been satisfactorily managed, reduced or eliminated prior to the institution's expenditure of any funds under the award, in accordance with the institution's conflict of interest policy. Conflicts which cannot be satisfactorily managed, reduced or eliminated must be disclosed to NSF.

Drug Free Work Place Certification

By electronically signing the NSF Proposal Cover Sheet, the Authorized Organizational Representative or Individual Applicant is providing the Drug Free Work Place Certification contained in Appendix C of the Grant Proposal Guide.

Debarment and Suspension Certification

(If answer "yes", please provide explanation.)

Is the organization or its principals presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency?

Yes

No

By electronically signing the NSF Proposal Cover Sheet, the Authorized Organizational Representative or Individual Applicant is providing the Debarment and Suspension Certification contained in Appendix D of the Grant Proposal Guide.

Certification Regarding Lobbying

This certification is required for an award of a Federal contract, grant, or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

AUTHORIZED ORGANIZATIONAL REPRESENTATIVE		SIGNATURE	DATE
NAME John M Garland		Electronic Signature	Feb 9 2005 12:03PM
TELEPHONE NUMBER 252-328-9538	ELECTRONIC MAIL ADDRESS garlandj@mail.ecu.edu	FAX NUMBER 252-328-4363	

*SUBMISSION OF SOCIAL SECURITY NUMBERS IS VOLUNTARY AND WILL NOT AFFECT THE ORGANIZATION'S ELIGIBILITY FOR AN AWARD. HOWEVER, THEY ARE AN INTEGRAL PART OF THE INFORMATION SYSTEM AND ASSIST IN PROCESSING THE PROPOSAL. SSN SOLICITED UNDER NSF ACT OF 1950, AS AMENDED.

Project Summary

The overall objective of this research project is to understand the influence of the recently introduced rule of law in China on the beliefs and perceptions of Chinese citizens regarding notions of justice, particularly fairness, and any related beliefs concerning social relationships and preferred conflict resolution strategies. The study seeks to discover how changes in the system to date have impacted various populations. Although change will not be studied directly (i.e. longitudinal design), the research will examine two populations that contrast in terms of the potential rates of change experienced by each. Namely, the study will compare the reactions to the rule of law among urban residents with reactions of rural residents within the same province (Nanzhuang and Shijiazhuang in Hebei province). The objectives and corresponding expectations fall into four areas of interest: 1) those concerning the present state of preferences for conflict resolution strategies in both rural and urban China, 2) the beliefs of rural and urban residents in China regarding fairness and justice, 3) the perceived role of *guanxi* relationships (i.e., particularistic ties) in dispute resolutions, and 4) the role of actual social network structures in influencing peoples preferences and beliefs regarding legal processes in China.

The data will be collected in two phases. Data analysis will follow each phase of data collection. The first phase is devoted to ethnographic background and exploratory research collecting narratives and statements about fairness and beliefs about *guanxi* ties in dispute contexts. The second phase involves the collection of systematic interviews based on instruments developed during the exploratory component of the research with a representative sample of both urban and rural residents (n=240). Using the cultural consensus model, social network analysis, and linear modeling approaches a series of hypotheses related to the four areas of interest will be tested.

Intellectual Merit and Broader Impacts

Individuals in China are increasingly facing neighborhood restructuring that involves the demolition of apartment buildings in favor of shopping malls or production facilities. Similarly, peasant activism among the rural population of China has recently switched from tax disputes to arguments over property rights, specifically rights over land. Many peasants have been stripped of their rights to till particular pieces of land. Given this climate of unrest and uncertainty among the general public in China, the long-term intentions of this project are to provide empirically derived insights that will aid in China's effort to incorporate elements of the rule of law. Furthermore, this research project will build bridges in the international arena between the United States and China in the difficult to negotiate terrain of collaborative fieldwork. Collaborative research would strengthen continuing cooperation between scholars in the United States and China, especially in the field of cognitive anthropology and social network analysis. So far only a few Chinese scholars employ either analytic approach. The project also will provide benefits in training graduate students in China, by building trans-pacific ties that could provide benefits in future years that may result in opportunities for knowledge transfer. In addition, the simultaneous publication of research findings in Chinese and English academic journals will have a great impact on scholarship. Our Chinese collaborators are committed to the Chinese side of publications which most likely will open up still more fieldwork opportunities in the future for both American and Chinese graduate students.

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Table of Contents	1	_____
Project Description (Including Results from Prior NSF Support) (not to exceed 15 pages) (Exceed only if allowed by a specific program announcement/solicitation or if approved in advance by the appropriate NSF Assistant Director or designee)	15	_____
References Cited	5	_____
Biographical Sketches (Not to exceed 2 pages each)	4	_____
Budget (Plus up to 3 pages of budget justification)	8	_____
Current and Pending Support	1	_____
Facilities, Equipment and Other Resources	1	_____
Special Information/Supplementary Documents (Data Management Plan, Mentoring Plan and Other Supplementary Documents)	2	_____
Appendix (List below.) (Include only if allowed by a specific program announcement/ solicitation or if approved in advance by the appropriate NSF Assistant Director or designee)	_____	_____
Appendix Items:		

*Proposers may select any numbering mechanism for the proposal. The entire proposal however, must be paginated. Complete both columns only if the proposal is numbered consecutively.

PROJECT DESCRIPTION

I. Results from Prior, Most Related NSF Support (full citations listed in reference section %)

1. Jeffrey C. Johnson, James S. Boster, and Lawrence A. Palinkas. NSF #BNS-9011351 (\$283,869, 9/91 – 2/96): *Social Structure, Agreement and Conflict in Groups in Extreme and Isolated Environments*. The first study addressed three central questions: 1) what is the social structure of a small, isolated group and how does it develop over time? 2) how is knowledge of the group structure distributed? and 3) what is the relationship between the sharing of knowledge and the social roles and relations among individuals, and how do these relate to individual and group functioning? Four consecutive winter-over crews (n=120) of the Amundsen-Scott South Pole Station were studied. We collected monthly data during the winter on crew rankings of other crew members with respect to social interaction and obtaining advice, social roles occupied by crew members, group morale, and individual psychological well-being (Eudey, Johnson, and Schade 1994). Morale fluctuated over the course of the year and from year to year. Drops in morale corresponded to: 1) the disappearance of roles; 2) the reduction in the multiplexity of certain roles for any single individual; and 3) groups forming more clearly defined subgroups or cliques. Heightened morale, however, derived from group cohesiveness or global coherence remained stable over the course of the winter (Johnson and Boster 1993; Boster and Johnson 1994; Johnson, Boster, and Palinkas 1995; Johnson, Boster, and Palinkas 1997; Johnson, Boster, and Palinkas 2003a, Johnson, Palinkas, and Boster 2003b, Palinkas, Johnson, and Boster 2004). Finally, monthly assessments of mood states were studied in 100 men and women who spent the 1991-1994 austral winters at South Pole Station. A comparison of Profile of Mood States (POMS) factor scores suggest that the beginning and end of winter are the most stressful periods for men and women who overwinter at the South Pole (Palinkas, Johnson, Boster, and Houseal 1998; Palinkas, Gunderson, Johnson, and Holland 2000; Palinkas et al. 2000; Palinkas, Johnson, and Boster 2001).

2. Jeffrey C. Johnson, James S. Boster, and Lawrence A. Palinkas. NSF #OPP-953040 (\$440,416, 5/97-4/03): *Social Structure, Agreement, and Conflict in Extreme and Isolated Environments: A Cross-Cultural Comparison*. In this cross-cultural follow-up the previous research, a series of 7 hypotheses were tested concerning the relationships among the group structure of polar research stations, the presence of informal social roles, psychological well-being, morale, and productivity across 5 cultures (American, Polish, Russian, Chinese, and Indian). There was reasonable support for six of the seven hypothesized propositions. The study found a relationship between group coherence (e.g., cohesiveness) and the presence or absence of informal social roles across all cultures. In addition, there was a relationship between global coherence, informal social roles, and group outcomes (e.g., morale, psychological well-being) across all cultures. The evidence suggests that the presence or absence of certain informal social roles in groups is important in allowing or preventing the evolution of a globally coherent group structure. Finally, and most importantly, group coherence is related to group outcomes (e.g., morale, psychological well-being) independent of the cultural setting (Johnson, Palinkas, and Boster 2003b; Palinkas, Johnson, and Boster 2004, Palinkas et al. 2004). This research also found a clear relationship between reported mood states and network position during the winter. In collaboration with Chinese researchers, the research has been extended to look at thyroid function and other important hormones associated with psychological and emotional states (serum adrenalin). Preliminary analysis has found a correlation between degree centrality in social interaction network (Great Wall Station) and thyroid function (Free T3[r=0.61, p<0.006], Total T3[r=0.47, p<0.05]). Also, a correlation between advice seeking (out degree centrality) and serum adrenalin (r=0.49, p<0.05) has been found. Network position (social support) is most probably a mediating factor in the T3 case. In such a harsh environment lack of support can exacerbate an already difficult situation leading to such things as abnormal thyroid function (all participants were medically screened prior to deployment). Network position (advice seeking) is probably a symptom of other emotional problems, although social support may play a role here as well (Johnson, Boster, and Palinkas 2004).

II. Proposed Research

1. Statement of the Problem

Since 1978 China has been immersed in a dramatic social and economic transition in which both wealth and inequality have increased (McKinley 1996, Vermeer et al. 1998, Oi 1999). Along with radical changes in the traditional social order have come new social norms. In addition, the Chinese government has been working on a "legal construction project" (Wang 2000: 1). The establishment of the rule of law in China is perhaps one of the most sweeping social reforms in the history of the country. Many changes have taken place in China's lawmaking system since 1980, including such things as the creation of wholly new legal institutions and procedures (Tanner 1999). The new legal system has borrowed much from Europe and North America and is currently in the process of adaptation to local conditions (Potter 2001). It is precisely this process of adaptation and its implications that is of interest here.

According to Chinese legal tradition, law was related to criminal law and mainly associated with the concept of punishment (Wang 2000). Civil rights, supervision of government, or ideas of justice were not considered as an extension of the law. Historically, China has been predominately an agrarian society. Whenever disputes arose between farmers, they sought a senior person to mediate and rarely looked for more formal legal solutions. Since China has moved from an agrarian to a more industrial society, its socio-legal structure has experienced an increasing need to shift from being based upon the rule of man to the rule of laws. Chinese people are gradually beginning to realize that instead of being a source for concern, the law is an essential characteristic of an increasingly complex society. The rule of law is important to all aspects of life in any country. Ideally it should ensure safety and economic productivity, safeguard property and freedom, and facilitate the proper conduct of political, social, and business activities (Potter 2001).

In recent years the Chinese government has faced a growing number of challenges to maintain social order (Knight and Song 1999). The general public sees a great deal of unfairness, economic inequality, and the abuse of power in their daily lives. The number of public protests grew to allegedly 100,000 a year at the beginning of this century (Solinger 2003: 946). Both urban and rural citizens are involved in a such protests. Many people bring forth grievances in the form of petitions to the respective government offices. This might be either an expression of trust in the legal system or simply an act of desperation. However, very few cases are actually ever heard. Being connected to somebody in power, having a *guanxi* tie (i.e., a particularistic tie), is still the most successful means to get things done (Yan 1992, Yang 1994, Bian 1997, Wank 2002). Furthermore, although adjudication at court has become an available mode of conflict resolution in higher level courts, the government promotes and recommends mediation at court rather than adjudication (Tanner 1999, Potter 2001).

The responses to law reform in China among the general population and the interplay of law reforms with traditional social practices such as *guanxi* ties have not been investigated in much detail. We need to know more about current beliefs concerning law and formal legal institutions and the role of relationships in the conflict management process as it relates to justice. The latter is especially important since particularistic ties continue to play an important role in legal processes (Potter 2001, 2002). The aim of the project is to understand the impact of the changing legal system on the perceptions and social structure of Chinese society. We want to understand the significance of law as an agent for social change and economic development, given that laws and norms are important components of culture. We plan to investigate this separately for urban and rural populations. Our basic assumption is that people in urban and rural areas differ in their ideas about fairness of the new legal system due, in part, to differential rates of change experienced by each. By comparing the adaptation process to the new legal system and beliefs towards fairness and justice in both urban and rural settings in China we expect to infer possible changes that the introduction of the rule of law in China has produced so far.

2. Background and Preliminary Studies

In 1992, the 14th National People's Congress proposed that legal development be assigned a high priority and that the pace of lawmaking be accelerated, with the aim of safeguarding reform and promoting economic growth. The leadership formally recognized that a sound market economy must be based on the rule of law, that laws promulgated to serve in the centrally planned economy should be either amended or abolished, and that the legal framework must serve the needs of the emerging market economy (Wang 2000). Furthermore, in 1997, the 15th National People's Congress explicitly incorporated the rule of law as a basic guiding principle in the Party's official document and elaborated on the rule of law as a separate subject in the plan for the reform of the political system for the first time in the Party's history. The congress also proposed to institute a comprehensive legal framework with Chinese characteristics by the year 2010. In the course of this endeavor Chinese people have begun to realize that a consistent and predictable legal system is perhaps the most important institution to facilitate modernization (Potter 2001).

Scholars differ in their approach to defining law, especially with respect to legal culture (see Potter 2001 on various attempts). The anthropologist Leopold Pospisil has distinguished four main attributes of law which are helpful for this investigation: authority, intention of universal application, mutual obligation, and sanction (Pospisil 1971). Universal application of the law is the basis for any commitment to the rule of law in a nation state. The concept of the rule of law indicates that the law stands above individual officeholders as neutral arbiters to which disputes are referred. All people within a state operating under the rule of law are equal before the law, and everyone, regardless of positions or status, is subject to it. However, traditionally China's political system was rooted in the concept of the rule of man. The individual officeholder stood above the law and served as arbiter to whom disputes were referred (Starr 2001: 204). The need for a genuine rule of law in China has become more urgent as political corruption has increased over the last decade (Kwong 1997). The law and not the officials in charge should be the basis for any conflict resolution. The usual practice was, and continues in many areas in China today, that civil disputes were resolved within the units where the conflicting parties live or work. Local mediators, administrative agencies, or Party members known by the contenders conducted the conflict resolution process. It follows that the traditional Chinese legal system, and the western legal system from which present-day China intends to borrow, are based on diametrically opposed ideas about the significance of the individual (Starr 2001). As discussed in more detail below, the traditional Chinese social order is relationship based rather than individual based.

Traditionally, Chinese people have only dealt with state authority, such as government administrators and magistrates, when they had failed to settle disputes within their own social worlds (Huang 1996:2). For the majority of the population living in the countryside the authorities of the state were far away and rarely interfered with everyday matters except during the collection of taxes (Shue 1988). The rule of relationships based on Confucian teachings, as further discussed below, was the main framework for living. Paralleling these changes in the legal system are changes in the rate of urbanization in China with existing cities swelling in size due to in-migration (Guldin 2001, Zhang 2004). As a result, alternative forms of conflict resolution in addition to local mediation have become available and increasingly more important. It follows that China's legal system is in transition from rules based on relationships to formal rules of law. In fact, the current state of conflict resolution strategies for civil law cases is testimony to the existence of legal pluralism in China. Legal pluralism represents the co-existence of normative orders when more than one legal order is in operation within the same socio-political space. Such parallel normative orders might be maintained and sanctioned by forms of organizations other than the state (Merry 1988). Literature on conflict resolution strategies in other cultures has shown that the choice of resolution strategy is intimately related to the range of social institutions available in a culture (Gluckman 1965, Collier 1973, Felstiner 1974, Moore 1978, Nader and Todd 1978, Caplan 1995). As

people rely less on primary group interactions and have relationships with a larger number of people from diverse backgrounds, the need for conflict resolution strategies beyond their local social world increases.

However, when introduced to new or additional forms of resolution strategies, people often have to face a previously unfamiliar set of normative orders. What was considered just and fair based on a local belief system might not be considered just and fair in a regional or national court. In fact, one of the consequences of the transitional stage of the current Chinese legal system is that the outcomes of dispute resolutions through adjudication at court are not always satisfactory for Chinese people. Zhao (2003) describes just such a case in his account of village disputes that were taken to court: "*Villagers also realize that the officers can make matters worse by implementing strict laws into society, which can make the law lose its effectiveness. Villagers seldom study laws and when they are facing a situation where they have to deal with laws, they use their own ways to try to settle the problems, which is to bribe the judge, or to bribe other persons in power. In the end, the implementation of the law becomes very ineffective*" (Zhao 2003: 7, our translation). This gives reason to believe that the rule of law in the context of China's rural society may sometimes fail to protect the interests of the common people. Yet findings of Zhao's ethnography and preliminary results of research on the relationship between social network structures and conflict resolutions outcomes (Avenarius et al. 2005), show that residents of rural areas do occasionally try to obtain justice through court adjudication.

Residents of urban areas have had more exposure to the rule of law given that the majority of lawyers, however small in absolute numbers, practice in cities (Starr 2001). They also have had seemingly more positive experiences with the application of the rule of law. Potter's (2002) study of the attitudes of urbanites in Shanghai regarding their support for the role of formal judicial mechanisms in dispute resolution is one of only a few insights into the changing legal culture available in English language. He asked both entrepreneurs and members of the general population to comment on motivations for the repayment of loans. Although the majority of respondents replied that repayments of loans are made in response to the fear of losing one's reputation or the obligation to fulfill one's moral duty, 14% cited legal duties as their main motivation to repay loans (Potter 2002: 184). This gives reason to believe that while the norms of collective responsibility for the management of conflict within one's network of social relations are still prevalent in urban China, urban residents respond to and adopt the rule of law at a faster speed than rural residents. In addition, we need to ask who might most benefit from a change from the rule of relationships to the rule of law? In particular we want to focus on disputes that occurred over larger sums of borrowed money (i.e., equivalent to an informant's yearly income) and land use issues. Questions of property rights and attitudes towards property have experienced considerable change since the introduction of economic reforms in 1978 (Li 1999, Oi and Walder 1999, Solinger 2003). These conditions affect both rural and urban residents of China.

Given the potential change from the rule of relationships to the rule of law in China, it is important to reflect on the aforementioned relationship orientation of Chinese society and the notion of *guanxi* ties that exemplifies this phenomenon. Fei Xiaotong, the most widely known anthropologist in China, once wrote that a member of Chinese culture sees him or herself as an individual embedded in concentric circles of society. In the core of all circles is ego, surrounded by his or her family, followed by the lineage, the special interest groups or association he or she is a member of, and lastly the larger society (Fei 1939, 1990). The traditional Chinese social system is not individual-based or society-based, but relation-based. It is rooted in the teachings of Confucius. Man is defined as a social and interactive being, not an isolated, separate entity. The social philosophy of relationships is founded on the Confucian principles of *lun*, which means a 'differentiated order', and *li*, the 'rules of proper conduct.' The concept of *lun* stresses differentiation between people, specifically fathers and sons, husbands and wives, seniors and juniors, superiors and subordinates and so forth (King 1994). It is a system of complimentary social roles with distinct status differences.

Accordingly, a Chinese person sees the world as a reflection of his or her relations to others and the particular circumstances that unite them. The indigenous Chinese category for such a particularistic tie is *guanxi*, a 'significant relationship.' Roughly translated, *guanxi* stands for 'to care for' (*guan*) in combination with the word for 'tie' (*xi*). The notion of 'having a *guanxi* tie' expresses the fact that two individuals are engaged in social exchange with each other. Relationships are multidimensional and are ranked in order of importance. Everyone stands at the center of his or her network of *guanxi* produced by his or her own social influence (Fei 1990). The building of *guanxi* always entails the recognition of a hierarchical relationship, even in the very subtle sense of 'older and younger brother' or the person 'seeking' the *guanxi* relation and the person 'granting' the *guanxi* relation. The recognition of 'seeker' and 'giver' is very conscious and therefore intentional in Chinese culture. Following the principles of Confucius, *guanxi* arises from the obligation of subordinates to fulfill ritual obligations to those of supposedly greater power and influence (Yang 1957, King 1994, Kipnis 1997).

These ties are major determinants of the strength or closeness of interpersonal relationships in Chinese culture. Existing *guanxi* can vary in terms of closeness or distance (Jacobs 1982: 210). People are closely bound to each other if they have *renqing*, i.e., human feeling and sentiment in general, or *ganqing*, i.e., emotional commitment to one another, in particular. This 'human-heartedness' is a Chinese ideal that requires people to recognize and act on each other's essential humanity, regardless of externals. The emphasis of 'having *renqing*' is on the individual's responsibility to know, act and interact with others in certain prescribed ways, to be aware of social obligations and the request of generosity towards others (Tsui 1997). If a Chinese person is accused of 'knowing no *renqing*' it means he or she is incapable of managing interpersonal relationships. He has violated his duty of proper conduct in his role opposite a superior or an inferior. Therefore the display of *renqing* is important in establishing and maintaining a significant relationship, a *guanxi*. People can rely on those they have a close *guanxi* with. *Guanxi* ties must be consciously produced, cultivated, and maintained over time. Utilization of a *guanxi* based on *ganqing* or *renqing* usually facilitates the attainment of one's interests or objectives. Having a *guanxi* allows actors to take advantage of the resources and status of another person in return for guaranteed future assistance (Jacobs 1982: 230). Mutual obligations have the function of claims on one another through personal involvement. The claims are rooted in the commonalities two or more people share. Two individuals have potential for creating a *guanxi* tie if they belong to a common collectivity such as a village, work group or educational institution (Jacobs 1982).

The basic function of *guanxi* is to insure alliance in times of need. It binds people together beyond choice or sympathy. For this study the following questions are of interest. What is the role of *guanxi* in Chinese culture today with respect to conflict resolution strategies and beliefs about justice and fairness? *Guanxi* ties are seen as a coping mechanism to make do with the lack of the rule of law and the arbitrary and discretionary nature of the use of power. *Guanxi* ties are also often understood as social capital (Lin 2001). They are accumulated and can be converted into economic, political, or symbolic capital (Smart 1993, Bian 2002). There are different viewpoints among scholars regarding the future role of *guanxi* ties. Some predict that the role of *guanxi* relationships will decline as a result of economic transformations and be replaced by the rule of law (Gold, Guthrie, and Wank 2002). Others argue that the importance of *guanxi* will increase and create a situation quite different from western rational-legal systems. Researchers that study the use of *guanxi* in urban areas find that *guanxi* ties have mainly an instrumental function (Yang 1994, Wu 2001, Wank 2002). In contrast, scholars of developments in rural areas emphasize the sentimental component of *guanxi* in relation to feelings (Yan 1992, Yan 1996, Kipnis 1997).

To understand the potential impact of a changed legal system on the Chinese social structure in both rural and urban societies we need to learn more about the role of *guanxi* in legal processes. *Guanxi* ties still matter in rural areas. But what is the likelihood of a change in its importance? For urban areas, Potter (2002) describes an increased willingness of Chinese disputants to be involved in more formal forms of

conflict resolution. However, he also claims that the fact that involved parties have lawyers who represent them in their stead allows the disputants to continue and nourish their *guanxi* tie independent of the outcome at court (Potter 2002: 188). The use of *guanxi* ties in the judicial decision making process is such that decisions are often derived in response to the requirements of personal networks rather than the requirements of law. The context of Chinese social practices allows the investigation process to involve private meetings between judges and clients, banquets, and all sorts of other social encounters (Potter 2002: 189). "*Guanxi relationships have always been used as a mechanism to protect individuals and groups against depredation of powerful but unresponsive officialdom and to help with adjustments in the application of formalistic law and processes*" (Potter 2002: 191). *Guanxi* relations provide a kind of social certainty for legal actors. In fact, Potter predicts that the role of *guanxi* will increase and continue to be complementary to the existing legal systems (Potter 2002: 195).

Learning more about the role of *guanxi* ties in addition to beliefs and conceptions of justice and fairness among the general public is one step towards understanding changes in Chinese society. However, we also need to investigate the actual nature of social relationships rural and urban residents currently engage in, specifically their potential for developing ties to people outside their primary groups. In rural areas social networks still include a majority of kin group members (Yan 1996, Avenarius et al. 2005). Yet, economic reforms and the increasing rate of industrialization in the countryside that have promoted the rise of private businesses have introduced diversity to rural networks (Vermeer et al. 1998, Oi 1999). In urban areas people meet non-kin group members in their neighborhoods and their work place (Ruan 1993). Social network research has been mainly concerned with urban Chinese populations. A primary focus of these studies were work related interactions and the potential for social mobility (Ruan 1993, Bian 1997, Lin 1999, Bian 2002). Few studies have applied social network analysis to the study of rural China. However, many scholars recognize the importance of social relationships and the interconnectedness of network members (Yan 1996, Kipnis 1997, Vermeer et al. 1998, Liu 2000). For the study of social change in China our interest should focus on the ability of rural and urban citizens to reach a variety of types of people rather than about the size and density of their social networks. In other words, the classic approach to the analysis of personal networks with the help of name generators (McAlister and Fischer 1983) is less useful than the approach of Lin (2001) who used position generators to understand social mobility. The people who can be reached by knowing somebody who knows someone in a particular positions, i.e., the equivalent of a *guanxi* tie, provide a person with influence and the means to obtain their goals. These kinds of connections also might widen people's horizons and might expose them to a different set of values (e.g., cosmopolitaness). Knowing the range of people a person has access to through the resources of his or her network ties, informs us about their potential for change and openness with respect to the range of available conflict resolution strategies.

In one of the first comprehensive discussions of Chinese law and social change, Buxbaum (1978) identifies the ingredients that may or may not facilitate social change based on the introduction of the rule of law. He argues that the successful use of positive law as an instrument of social change is dependent on three arenas: the mode of communication that the judicial-political power exercises in transmitting information to the general public, the power of the social groups affected by new laws to either their benefit or detriment, and the values of the society that may or may not conflict with the introduction of new laws (Buxbaum 1978: 3). These considerations have guided our interest in the investigation of the potential changes in the Chinese social structure due to the introduction of the rule of law.

Preliminary studies: In the summer of 2004 Avenarius and Duran Bell from UC Irvine conducted research in Nanzhuang, a village in northern China's Hebei province, in cooperation with Prof. Zhao Xudong from the Institute of Sociology and Anthropology at Peking University. Structured interviews with a probability sample of 184 villagers inquired about the social relationships of villagers with relatives, non-kingroup members, and partners in business activities. The data also includes information about the existence of any past or ongoing disputes over land use or borrowed money. In addition, they

obtained data on the size of houses and the ownership of utility and consumer goods such as tractors, televisions, motorcycles, cell phones, etc.

Preliminary analysis of this data shows that villagers who have relationships that reach beyond their immediate kin group and link them to people in larger cities, are more likely to be unsatisfied with local informal mediation. They continue their search for dispute resolution through formal mediation at the township or county level courts. Findings also reveal that villagers with higher levels of financial capital are more likely to pursue formal resolution in court in addition to local mediation. These findings form some of the basis for the hypotheses to be tested in this study.

3. Research Objectives

The overall objective of this research project is to understand the influence of the recently introduced rule of law in China on the beliefs and perceptions of Chinese citizens regarding notions of justice, particularly fairness, and any related beliefs concerning social relationships and preferred conflict resolution strategies. We want to know how changes in the system to date have impacted various populations. Although we cannot study change directly, we propose to examine two populations that contrast in terms of the potential rates of change experienced by each. Namely we will compare the reactions to the rule of law among urban residents with reactions of rural residents.

As a means to this overall end, we pursue a number of more specific objectives guided by a set of expectations concerning the differences in resolution strategy preferences and beliefs between rural and urban citizens of China. We distinguish between two kinds of expectations: exploratory propositions that refer to descriptions and interpretations of less well understood topics; and hypotheses that state explicit expectations that are testable through established methods of inferential statistics. The objectives and corresponding expectations are described below in four sets: 1) those concerning the present state of preferences for conflict resolution strategies in both rural and urban China, 2) those concerning the beliefs of rural and urban residents in China regarding fairness and justice, 3) those concerning the perceived role of *guanxi* relationships in dispute resolutions, and 4) the role of actual social network structures in influencing peoples preferences and beliefs regarding legal processes in China.

Preferences for informal and formal strategies of conflict resolution: The first specific objective is to understand how the rule of law in China expands at the local level, specifically how communities begin to shift from more local forms of dispute settlement to more state-based forms of dispute settlement. How is the mode of conflict resolution changing? What kind of legal services are available to them? What are local people's preferences for available conflict resolution strategies? Is the rule of law reshaping conflict resolution at the village level and in urban neighborhoods? What are the local conditions that drive the legal process? We propose to explore these questions by looking specifically at individual preferences for dispute resolution strategies with respect to differences over borrowed money and land use rights in two sample populations, one experiencing rapid change (urban) and one experiencing a slower rate of change (rural). Our hypotheses in these regards are:

H1a Both rural and urban residents share a common understanding of the rule of law. Their responses will fit the cultural consensus model.

H1b In cases of disputes over borrowed money or land use rights, villagers, unlike urban residents, will prefer to first turn to a member of their social network for mediation and then to the village mediator before exploring any other resolution strategies.

- H1c** Villagers who are skeptical of local mediation will prefer to get conflicts resolved at the next higher level, through the mediators at the township court.
- H1d** Urban residents are more likely than rural residents to state they would forgo mediation through members of their personal networks or neighbors in their urban residential unit. They will prefer to go directly to court.
- H1e** Urban residents, unlike rural residents, will state preferences for the use of lawyers and adjudication at court instead of mediation at court to settle land use disputes (i.e., confiscation of their apartment complex for the construction of new buildings) or to make claims for compensation in incidents of unpaid debts (i.e., borrowed money).

Beliefs and Conceptions of Fairness and Justice: The second specific objective is to understand people's beliefs about fairness and justice in economic and legal settings. We want to learn how rural and urban residents evaluate the legal outlets that are currently available to them, be it local mediation, mediation at the township court, mediation at the county level court, or adjudication at court. Which type of legal process do they consider to be more just? What is considered a fair and just ruling? What is the basis of their notions of fair conduct between two opponents? What type of conflict resolution do they consider to reinforce fair conduct? What establishes and maintains trust in fair conduct of opponents (e.g., informal or formal rules)? Our hypotheses in these regards are:

- H2a** Urban residents are more likely than rural residents to connect their idiosyncratic definitions of fairness to expectations about legal reinforcement. They are more likely to agree that laws and formal rules of courts are a means to reinforce claims and to receive fair treatment.
- H2b** Urban residents will show a higher level of reliance on formal rules and institutions to reinforce trust than rural residents.
- H2c** Rural residents are more likely than urbanites to explain fairness and justice with a reference to morality and proper conduct in relation to the notions of *renqing* and *ganqing* introduced above (i.e., proper conduct within the web of social relationships).
- H2d** Rural residents are more likely than urban residents to believe in the importance of informal norms to reinforce trust.

Beliefs about Guanxi and Disputes: The third specific objective is to collect urban and rural residents' notions about *guanxi* ties. What is the emic point of view regarding the importance and utility of these particularistic ties, particularly in various dispute contexts? Our goal is to make a contribution to the understanding of beliefs about *guanxi* and their role in the legal frameworks of rural and urban China. Our hypotheses in these regards are:

- H3a** Rural and urban residents describe and define the meaning, importance and utility of *guanxi* ties differently.
- H3b** Urban residents are more likely than rural residents to believe in the instrumental nature of *guanxi* ties.
- H3c** Rural residents are more likely than urban residents to believe *guanxi* ties are based on the need to fulfill relationship obligations and to follow their sentiments (i.e., *renqing* or *ganqing*).

- H3d** In terms of conflict resolutions, rural residents are more likely to consider the use of *guanxi* ties as appropriate since they constitute fair and moral conduct and they fulfill relationship obligations.
- H3e** In terms of conflict resolutions, urban residents are more likely to consider the use of *guanxi* ties to be a form of corruption because people use relationships specifically to advance their interests. Urban residents will believe that there are more opportunities to accomplish objectives without the use of *guanxi* ties.

Social Network Characteristics: The fourth specific objective is to understand the impact of personal network characteristics on beliefs about fairness and preferences for conflict resolution strategies. How are personal social networks used with respect to legal institutions? What do people believe about the relationship between social resources and justice? We want to know what role certain types of ties play in these processes. Specifically, we want to concentrate on the ties rural residents have to people who live outside their village and on ties urban residents have to people outside their immediate apartment building and work environment (i.e., the presence of wide ranging social ties). How do people's social networks mediate their beliefs about and preferences for legal options? To elicit the range of such ties from informants we plan to use the notion of position generators developed by Lin (2001) that identify if an informant knows a person in a particular given occupation or location. These position generators are one approach to map the social capital of people that their social relationships afford them.

- H4a** Urban and rural residents with network members that live or work outside their village, neighborhood, or work unit will have different beliefs about fairness than people who have no ties that link them to people outside their village, neighborhood or work unit.
- H4b** Urban and rural residents with network members that live or work outside their village, neighborhood, or work unit are more likely than others to prefer conflict resolution strategies beyond the neighborhood committee or village mediation level.
- H4c** Rural residents who know a lawyer or judge personally or through the ties of a network member are more likely to prefer conflict resolution strategies beyond mediation in the village or mediation at the township court. In other words, they are more likely to prefer mediation or even adjudication at the county court level in case of a negative mediation outcome at the village or township level.
- H4d** Urban residents who know a lawyer or judge personally or through the ties of a network member are more likely to prefer conflict resolution strategies beyond mediation at the local court. They are more likely to prefer mediation or even adjudication at the higher courts in case of a negative mediation outcome at the local level.

4. Significance and Implications

The proposed research aims to advance our knowledge about the modernization of legal processes in the area of civil law in both rural and urban China. It will inform us about the effectiveness of the legal system as evaluated by the general public based on comparative beliefs about conflict resolution, fairness and justice. China is simultaneously undergoing changes in its legal and economic system. Its legal system is in transition from rules based on relationships to formal rules of law. Thus, this study will contribute to a better understanding of the limitations of formal legal institutions in a changing economic and social environment. Understanding the current state of adjudicatory mechanisms in the case of

mainland China is important given the growing economic influence of China in the world. In addition, this research will make a contribution to the study of *guanxi* ties (see Gold, Guthrie, and Wank 2002 for an overview) by looking at the perceptions of common people in both rural and urban areas about *guanxi*. Many observers are puzzled by the persistence of informal customs in the legal modernization process (i.e., legal pluralism). Looking at the beliefs about proper conduct among rural and urban citizens will provide us with insights about the likelihood of a change in norms as a result of ongoing economic reforms.

This research also has the opportunity to shed more light on the gradual rise of civil society groups, specifically how social networks potentially evolve into something resembling civil society (White et al. 1996, Weller 1999, O'Brien 2002). Learning about issues concerning lawmaking and the prospects for democratization will inform us about the prospects of a system in transition to democratization. We will be able to make inference regarding the question whether changes in the lawmaking system link up with changes in the broader society to make this part of the political system more permeable to a variety of interests. This is particularly important given the Chinese government's increasing problem with the maintenance of social order. The general public sees much unfairness, inequality between rich and poor, and the abuse of power. Recently, the number of sudden uprisings reported in Western newspapers has increased. According to Chinese police reports, 2003 witnessed nearly 60,000 public protests, which is an increase of 15% as compared to 2002, eight times more than a decade ago (Kahn 2004). Chinese citizens often plead for the implementation of law to solve these cases. Many citizens, including peasants who live in distant locations, travel to Beijing to bring forth their grievances in the form of petitions to the respective government offices. However, they often wait in vain or are encouraged to return. Rarely do their complaints fall on open ears (Kahn 2004).

In urban areas protests often evolve around calls for social equality fueled by high unemployment rates and the participation of migrant workers in the urban society (Solinger 1999, Zhang 2001). However, many urbanites also find themselves upset about issues of property rights and land use (Oi and Walder 1999). In many cities across China residents are facing the restructuring of neighborhoods involving the demolition of their apartment buildings in favor of shopping malls or production facilities. Even in cases where residents have purchased apartments, their investments are not necessarily protected. Similarly, peasant activism among the rural population of China has recently switched from concerns about tax disputes to arguments over property rights, specifically the rights over land. Many peasants have been stripped of their rights to till particular pieces of land. This phenomenon can be found most frequently in the Eastern provinces of China where the urbanization process and the use of land for non-agricultural production has been particularly rapid (Li 1999, Zhang 2004). Given this climate of unrest and uncertainty among the general populace of China, the long-term intentions of this project are to provide empirically derived insights that will aid in China's effort to incorporate elements of the rule of law.

Furthermore, this research project will build bridges in the international arena between the United States and China in the difficult to negotiate terrain of collaborative fieldwork. Collaborative research would strengthen continuing cooperation between scholars in the United States and China, especially in the field of cognitive anthropology and social network analysis. So far only very few Chinese scholars employ either analytic approach. The project also will provide benefits in training graduate students in China, by building trans-pacific ties that could provide benefits in future years that may result in opportunities for knowledge transfer. In addition, the simultaneous publication of research findings in Chinese and English academic journals will have a great impact on scholarship. Our Chinese collaborators are committed to the Chinese side of publications which most likely will open up still more fieldwork opportunities in the future for both American and Chinese graduate students.

5. Methodology

Site selection and rationale: Research will be conducted in the village of Nanzhuang, located in Zhao County, Hebei province, and the city of Shijiazhuang, the provincial capital of Hebei. The choice for Nanzhuang derives from our close collaboration with Zhao Xudong at the Institute of Sociology and Anthropology at Peking University. Dr. Zhao conducted his dissertation research on patterns of dispute resolution in the village (Zhao 1999, 2003) and has maintained close relationships with village elders since completion of his fieldwork. This was instrumental in the success of the preliminary study conducted by Avenarius and Bell in the summer of 2004. Nanzhuang is a fairly typical village within Zhao County given its large size of about 5000 inhabitants and mixed economy based on agriculture and agricultural affiliated businesses. It is located two hours by bus east of the provincial capital Shijiazhuang. For the urban context we decided against the choice of Beijing based on the assumption that conceptions of fairness and justice are probably somewhat less representative in the nation's capital since it is also the seat of government. Instead we choose Shijiazhuang, the provincial capital of Hebei. This controls for any disparities in comparability with the rural sample since we stay in the same province. In addition, our other collaborator, Dr. Qi, conducted his dissertation research on the social networks and the degree of connectivity in an urban neighborhood of Shijiazhuang. Furthermore, he grew up in the city and has access to other research institutions and administrative units.

We will use a series of qualitative and quantitative methods within an ethnographic framework for the collection of data on conflict resolution strategies, social network structures, and perceptions about fairness and the role of particularistic *guanxi* ties. Of particular interest is people's beliefs about fairness and *guanxi* relationships in dispute contexts. What forms of reasoning do people use in providing for an understanding of what they consider to be a just conflict resolution? What insights do they communicate when explaining the notion of *guanxi* ties? Are these beliefs shared and, if so, how does the understanding of this overall shared cultural knowledge vary according to age, gender, income, and residential location?

The need for a two-year study: We plan to conduct the data collection of this project over the course of two summers. Data analysis will follow each period of data collection. The first summer is devoted to ethnographic and exploratory research collecting narratives and statements about fairness and the beliefs about *guanxi* ties in dispute contexts. In the second summer we plan to conduct systematic interviews based on instruments developed during the exploratory phase of the research with a representative sample of both urban and rural residents. The qualitative components of the study in the first summer will aid in designing the interview instruments of the second summer and ensuring their validity. The combination of methods has important implications for the reliability, validity, and power of the research findings. The analysis of data collected during the both summers will enable us to confirm or reject the hypotheses that guide this research.

The rationale for this approach is twofold. First, a research design that includes both an exploratory and an explanatory phase is best suited to yield the most reliable valid insights on human behavior (Johnson 1998). Second, given the difficulties of research in rural China discussed above, a two year design allows for scheduling of the data collection periods in the two summer month during which Chinese sociology students are available. This allows for instrument development, data analysis, and other tasks during the remaining months while working at our respective research institutions in both China and the United States. The PIs will work closely with the Chinese field researchers Zhao Xudong (Institute of Sociology and Anthropology, Peking University) and Qi Xin (The Urban Studies Institute, Beijing Academy of Social Sciences), as well as eight students selected from their respective institutions by the two collaborators.

In the first summer, Christine Avenarius, Jeffrey Johnson, Zhao Xudong and Qi Xin will be responsible for the collection of in-depth narratives. Zhao Xudong and Christine Avenarius will collect the narratives

for the rural sample in the village of Nanzhuang. Each of them will conduct half of the proposed number of interviews. Avenarius' language skills have proven to be sufficient to understand the Chinese of the villagers during her last stay in the village in the summer of 2004. Later in the first summer (2006), Avenarius and Qi Xin will collect narratives from urban residents with an urban household registration in Shijiazhuang. Graduate students of Peking University and the China University of Political Science and Law will be hired to transcribe and translate (excellent English skills permitting) the narratives. In the second summer (2007), Avenarius will supervise the collection of data based on a representative sample of rural and urban residents. Graduate students from the Institute of Sociology and Anthropology of Peking University will be selected by Zhao Xudong and trained by Jeffrey Johnson and Christine Avenarius. In case there are not enough graduate students at Peking University who are interested in working on the project, we will contact Liang Yongjia, an Assistant Professor at the School of Sociology at the China University of Political Science and Law and a graduate of the Institute of Sociology and Anthropology at Peking University, to introduce us to graduate students in his department. In the summer of 2004 we worked with a group of graduate students from this university and were very pleased with their performance.

Exploratory Phase: In the exploratory phase, we will collect narratives from an extensive purposive sample of informants in both the village of Nanzhuang ($n = 36$) and the city of Shijiazhuang ($n = 36$) (Johnson 1990). A 12 cell sampling strategy in an age (young adults, adults, older adults) by gender format controlling for dispute experience will be employed, with approximately six informants per cell being interviewed (half from rural and half from urban). Experience will be determined on the basis of a snowball sampling technique in which informants are used to help identify individuals who have been through one or more disputes (Johnson 1990). In addition, the PIs and field researchers will collect archival information on legal disputes in the respective areas and observe the ways in which community members participate in both formal and informal dispute resolutions.

In this phase we do not propose strictly random sampling, which might include people with little experience with disputes. Instead we will design our sampling strategy specifically to represent people with different qualities and quantities of involvement in disputes including experts. Moreover, the probable variation in notions of fairness and beliefs about *guanxi* further recommends systematic sampling strategies that allow comparisons across different groups within the rural and urban settings (Johnson 1990).

Belief and Preference Data: Informants in each of the sample populations will be asked to list all the individuals they know who have been involved in a dispute of one form or another. From the list informants will be interviewed in-depth about fairness related to issues surrounding each of the dispute cases. In areas where there are small lists, dispute examples from the newspaper will be presented to informants and they will again be interviewed in-depth about fairness in relation to the processes and outcomes in each case. Visual-stimuli such as photographs (e.g., court and mediation scenes) will also be used to aid in the facilitation of discussions and the collection of narratives about these beliefs (Johnson and Griffith 1998). In the same interviews informants will be interviewed in-depth about *guanxi*. In a separate task informants will be asked to list any individuals (with the use of an anonymous identifier) they know who have used *guanxi* ties in personal, business, or dispute matters in the last 2 years. Subsequently, informants will be asked to provide in-depth discussion of each of the instances. These interviews form the basis for understanding beliefs about fairness and *guanxi* in relation to dispute resolutions. All interviews will be recorded and transcribed. Interviews and observations will produce data that can be used to produce more structured interviewing tasks (e.g. belief propositions) for the collection of systematic data on notions of fairness and beliefs about *guanxi* in dispute resolution contexts. Finally, dispute resolution strategies will be constructed from these interviews and from newspaper and archival materials. These will eventually be divided into a list of types of disputes and a separate list of resolution strategies. These will allow for the systematic understanding of preferences by

asking informants to link contexts with their preferred strategy (discussed in more depth below). A good example of this approach can be found in Romney et al. (1979) in their study of concepts of success and failure and Weller et al. (1987) in their study of beliefs about corporal punishment.

Social Network Data: To elicit the range of an informant's ties of interest to the social network hypotheses we plan to use a shortened and more focused version of the position generators approach developed by Lin (2001) that determines if an informant knows a person in a particular occupation or location. We will specifically ask informants about their social network ties to people in locations outside their village or greater neighborhood. In addition, we will ask informants about their ties to lawyers, judges, and others involved in the legal process. This data will be used to produce measures of the extent to which informant's have ties outside their immediate geographical location and the extent to which they have ties with various individuals involved in the formal legal process. These measures of social network analysis (Wasserman and Faust 1994) will be used in tests of **H4a-H4d**.

Explanatory Phase: The narrative data will generate the raw material for the systematic beliefs about fairness, *guanxi*, and strategy preferences. This will be achieved by developing two systematic interviewing frameworks for the collection of the belief and preference data: 1) cultural consensus analysis (Romney, Weller, and Batchelder, 1986; Johnson and Griffith 1996) of belief propositions for both fairness and *guanxi* and 2) dispute-by-resolution strategy interviews (Johnson and Griffith 1985; Johnson, Griffith, and Murray 1987; Boster and Johnson 1989). Each of these methods will allow for the testing of hypotheses **H1a** and **H2d- H3e** regarding consensus and intracultural variation in knowledge as a function of residence and network characteristics (**H4a-H4d**).

Sampling strategy: In this phase of the study we will conduct a random sample of 120 heads of households in each of the study areas for a total sample of 240 individuals. Previous research in Nanzhuang carried out by Avenarius will be useful in constructing a sampling frame for the random sample of households. The preliminary research has already produced a map of households in the village and will be used for producing a sampling frame for the random selection of households. The sampling strategy in the city poses more of a challenge. However, existing city maps will be used to grid the city into blocks. Blocks (n=120) will be chosen at random. Households within each of the blocks will be mapped and a random sample of one household per block will be chosen for a total of 120 households. It is important to note that only families who's head of household was raised in the city, i.e., has an urban household registration, will be interviewed and potential informants will be screened. In the event the head of household chosen at random does not fit the criteria, a second household chosen at random will be substituted (Bernard 2002).

We hypothesize a shared cultural understanding of the rule of law among urban and rural residents (**H1a**). Based on the narratives described above, a series of consensus statements will be developed after the methodology described by Johnson and Weller (2002). These statements will consist of informant-based propositions concerning notions of fairness and justice in the context of both formal and informal legal processes and beliefs about *guanxi* ties in such processes. Figure 1 provides an example of how such consensus statements are constructed from the in-depth narratives. A random sample of urban and rural residents will be interviewed orally and asked whether they agree or disagree with each of the sets of statements.

Original portion of informant interview:

"Yeah, they'll come out the bay and up the North River and all the bays, all through until they get to the sound. Which on the full moon, a lot of times we get advanced warning. If it's just average weather, a 15mph southwester and they'll start catching the shrimp that we want. They start catching them here, they'll start catching them to Atlantic. The next night they'll catch them further down and the next night we'll start catching them."

Consensus statements or propositions derived from the in-depth interviews:

Three or four days after a full moon is when shrimp usually show up in Core Sound.
agree disagree

At the start of the full moon the shrimp tend to migrate down from Atlantic and Cedar Island area finally moving down to the Core Sound area by the second or third day of the full moon.
agree disagree

Figure 1. *This is an example of the development of consensus statements from in-depth informant narratives. These are from in-depth narratives of a purposive sample of 15 fishermen about knowledge of shrimp behavior in Core Sound, North Carolina (Johnson et al. 2003). Common themes across the in-depth interviews were developed into a series of 60 statements about shrimp behavior. A separate sample of informants was asked whether they agreed or disagreed with each of the statements. Using the cultural consensus model they were able to measure the extent to which this cultural ecological knowledge is shared and how it varies across different segments of the sample population (i.e., income, ethnicity, etc.).*

Preferences for conflict resolution strategies will also be examined through the use of dispute-by-resolution strategy interviews, also referred to as item-by-use interviews (Weller and Romney 1988; Johnson and Griffith 1985), in which informants will be asked to associate dispute resolution strategies with various forms of formal and informal disputes, derived from the earlier narrative interviews and archive research. These data are amenable to a number of multivariate modeling techniques that will allow for the construction of models that capture dispute/strategy relationships and allow for the determination of logical relations between both dispute types and resolution strategies (see Johnson, Griffith, and Murray 1987 and Boster and Johnson 1989 for discussion of the use of multidimensional Guttman scaling in producing such models). In addition, such methods facilitate the valid comparison of responses of informants both within and between members of the various sample groups.

The cultural consensus model will allow for evaluation of the extent to which beliefs are shared for both consensus statements and dispute-by-strategy comparisons. The patterns of responses to both the fairness and *guanxi* propositions will be put into an informant-by-proposition database and statistically compared across informants. Dispute-by-resolution strategy comparisons will be converted to matrices for each of the individual informants and statistically compared. The resulting correlation matrices for both types of data will then be subjected to minimum residual factor analysis. In tests of **H1a**, if there is a shared understanding of the rule of law, the ratio of the first to second eigenvalue in a minimum residual factor analysis will be greater than three and the scores on the first factor should all be positive with a mean score greater or equal to 0.5 (Romney, Weller, and Batchelder 1986).

The consensus analysis, more importantly, allows for the means for determining how variation in beliefs is a function of residence and social network characteristics through a comparison of scores using multiple regression, ANOVA and MANOVA techniques (Boster 1985, Boster and Johnson 1989,

Johnson and Griffith 1996). Informant scores on the first factor of the minimum residual factor analysis are indicators of each informant's correlation to the aggregate understanding of cultural beliefs. The first factor score, the dependent variable, will be linearly related to a series of quantitative and qualitative independent variables (e.g., network and demographic variables) in multivariate tests of **H2b-H4d**. It is particularly important that we control for a number of demographic variables, particularly income and wealth indicators. In addition, summed responses with respect to specific sets of questions can also serve as various indices (e.g., responses to statements on the formal rule of law) that can be used as additional dependent variables in more direct tests of the hypotheses specifically interested in rural and urban differences in beliefs and preferences with respect to, for example, reliance on formal rules, *guanxi* ties as corruption, and preferences for using network members. Further, there may also be information in the second factor scores that can be used as a dependant variable to further test variations across the sample populations (Boster and Johnson 1989). In cases where there are limited number of belief statements for a given construct (i.e., a single proposition), the dependent variable will be treated as a dichotomous variable (agree/disagree) and tested using logistic regression approaches.

It is important to note that the non-directed fairness and *guanxi* narratives can stand on their own in terms of producing a more qualitative ethnographic understanding of cultural beliefs across the research sites. They are also instrumental in the ethnographic interpretation of the study results. These interviewing methods are flexible and can be adapted to fit the interview context and the person being interviewed, largely because they do not require presenting pre-written questionnaires to informants (Johnson and Griffith 1996; Johnson and Weller 2002).

6. Work Plan

Year 1

February 2006 to May 2006 ---- prepare for field and train Chinese collaborators in the collection of in-depth narratives

June 2006 to August 2006 --- select purposive sample and begin collecting narratives and archival data and begin narrative transcriptions

September 2006 to January 2007 --- finish transcribing interviews, translate where necessary, and begin development of instruments

Year 2

February 2007 to May 2007 --- finish development of instrument and produce both a Chinese and English version

June 2007 to August 2007 --- select random samples in each of the sites, train the interview teams, and conduct the systematic interviews

September 2007 to December 2007 --- begin data coding and entry, and conduct data analysis and preliminary write-up

January 2008 ---- present preliminary findings at a workshop in China

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Education

- 2003 Ph.D. Social and Cultural Anthropology, University of Cologne, Germany.
Dissertation: The Structure of Constraints: Social Networks of Immigrants from Taiwan
- 1995 M.A. Social and Cultural Anthropology, University of Cologne, Germany. Minors: Sinology and Political Economy. *M.A. thesis:* Vegetable Farmers in Beijing - a field study of recent changes in suburban vegetable production (in German).
- 2/90 - 7/91 Student in the Department of Sociology, Peking University, Beijing, P.R.China
- 9/89 - 1/90 Chinese language study at Taiwan Normal University, Taipei, Taiwan.

Languages

German: mother tongue; English: fluent written and spoken; Mandarin Chinese: fluent written and spoken; French: working knowledge.

Present Position

since 8/03 Assistant Professor, Department of Anthropology, East Carolina University.

Research and Fieldwork Experience (selection)

- 6/04 - 7/04 Exploratory fieldwork in Nanzhuang village, P.R.China on the social relationships of villagers based on informal, unstructured, and semi-structured interviews. Developed a structured interview instrument and trained six graduate students in data collection techniques. Funded by Dr. Duran Bell, Dep. of Anthropology and Economics, UC Irvine.
- 4/97 - 4/98 Fieldwork on the social networks within the evolving Chinese community in Orange County, California using quantitative and qualitative methods of data collection. Data analysis resulted in PhD thesis.
- 5/93 - 9/93 PI of interdisciplinary research project "Ecological and socio-economic aspects of the fertilization in private vegetable production in the Beijing suburbs." The roles of indigenous knowledge, attitudes and motivation in decision-making were studied using qualitative and quantitative methods of data collection (analysis resulted in M.A. thesis).
- 8/92 - 10/92 Feasibility Study for Integration GmbH, Frankfurt at the Sino-German development project "Rehabilitation of the Lhasa Leather Factory" in Lhasa, Tibet Aut. Reg. PR.China.

Grants and Fellowships (selection)

- 5/97 - 5/99 Leibniz grant of the DFG (German Research and Science Foundation) for dissertation research as part of the research project 'Social Networks and Cognition' (\$10,000 – funded).
- 9/96 - 12/96 DAAD short-term dissertation grant to study social network analysis at the Social Networks Program in the School of Social Sciences, University of California, Irvine (\$ 5,000 – funded).

5/93 - 9/93 ASA grant of the Carl Duisberg Gesellschaft for the implementation of an interdisciplinary research project in cooperation with the Beijing Agricultural University, P.R.China (\$ 8,000 – funded).

Publications (selection)

Avenarius, Christine B. 2003. *Work and Social Network Composition among Immigrants from Taiwan to Southern California*, Anthropology of Work Review, Vol. 23, No. 3-4: 3-15.

Avenarius, Christine B. 2004. *Taiwanese Americans*, in: Ember, Carol R. and Melvin Ember (eds.) Encyclopedia of Sex and Gender: Men and Women in the World's Cultures, pp. 858-867. New York: Kluwer Academic/Plenum Publishers.

Avenarius, Christine B. 2004. *The Structure of Constraints: Social Networks of Immigrants from Taiwan*. Köln: Kölner Universitäts-Publikationsserver.

Avenarius, Christine B. (forthcoming). *Conflict, Cooperation, and Integration Among Subethnic Immigrant Groups from Taiwan*. In: Salaff, Janet and Frank Pieke (eds.) Subethnicity in the Chinese Diaspora. London and New York: Routledge/Curzon.

Conference Papers and Presentations (selection)

2/05 25th International Sunbelt Social Network Conference, Sunbelt XXV in Los Angeles, CA. Presentation on "Social Networks, Wealth Accumulation, and Dispute Resolution in Rural China" (with Duran Bell, Zhao Xudong, and Liang Yongjia).

12/04 103rd Annual Meeting of the American Anthropological Association in Atlanta, GA. Poster presentation on "Immigrant ethnic group cohesion in deconcentrated urban spaces."

9/03 Conference on Subethnicity in the Chinese Diaspora, University of Toronto, Toronto, Canada. Presentation on "Conflict, Cooperation, and Integration Among Subethnic Immigrant Groups from Taiwan."

Work Experience in China (selection)

3/95 - 7/95 Assistant to Jorgen Delman, Co-Director at the China-European Union Center for Agricultural Technology (CECAT) in Beijing. Prepared proposals for exhibitions and workshops; prepared and conducted training courses on data collection techniques.

7/91 Internship at the Beijing office of German law firm Pünder, Weber, Volhard & Axter. Researched and translated documents concerning international economic law and their application in the Chinese context and assisted in the compilation of evaluation reports.

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2000-present Adjunct Professor, Department of Biology
1993-present Adjunct Professor, Department of Biostatistics
1992-present Adjunct Professor, Department of Anthropology

Current and Recent Grants

- 2005-09 J.C. Johnson , Principal Investigator, National Science Foundation. "Summer Institute for Research Design in Cultural Anthropology." \$426,333.
- 2002-05 J.C. Johnson, L.M. Clough, D.C. Griffith and A.V. Whiting, Principal Investigators, NSF. "Investigating Ecological Change in the Nearshore Kotzebue Sound Ecosystem: Simultaneous Application of Traditional and Scientific Ecological Knowledge". \$483,768.
- 2002-04 D.C Griffith and J.C. Johnson, Principal Investigators, Sea Grant/National Oceanic and Atmospheric Administration, "Stakeholder Perceptions of Water Quality". \$75,835.
- 2000-02 D.C. Griffith and J.C. Johnson, Principal Investigators, UNC Sea Grant. "Local Knowledge and Scientific Resource Management in Changing Coastal Communities." \$60,484.
- 2000-02 J.C. Johnson and D.C. Griffith, Principal Investigators, UNC Sea Grant. "The Role of Social, Personal, and Institutional Resources in Understanding the Impact of Hurricane Floyd on the People of Eastern North Carolina". \$6,500.
- 2002-04 J.C. Johnson, Principal Investigator, National Science Foundation. "Summer Institute for Research Design in Cultural Anthropology." \$199,098.
- 1997-02 J.C. Johnson, L. Palinkas, and J.S. Boster, Principal Investigators, National Science Foundation. "Social Structure, Agreement, and Conflict in Extreme and Isolated Environments: A Cross-Cultural Comparison." \$440,416.

Selected Publications (10 of 67)

R. R. Christian, D. Baird, J. J. Luczkovich, J. C. Johnson, U. Scharler, and R. E. Ulanowicz Role of Network Analysis in Comparative Ecosystem Ecology of Estuaries. In "Aquatic Food Webs: an Ecosystems Approach", A. Belgrano, U. Scharler, J. Dunne, and R. E. Ulanowicz (eds.), Oxford University Press (in press) .

Jeffrey C. Johnson, page 2

L.A. Palinkas, J.C. Johnson, J.S. Boster, S. Rakusa-Suszczewski, V.P. Klopov, X. Q. Fu, and U. Sachdeva. "Cross cultural Difference in Psychosocial Adaptation to Isolated and Confined Environments". . Aviation, Space, and Environmental Medicine, Vol. 75, No. 11 (2004): 973-980.

J.C. Johnson, L.A. Palinkas, and J.S. Boster "Informal Social Roles and the Evolution and Stability of Social Networks". In "Dynamic Social Network Modeling and Analysis". The National Academies Press: Washington, D.C. (2003).

J.C. Johnson, J. Boster, and L. Palinkas. "Social Roles and the Evolution of Networks in Isolated and Extreme Environments. The Journal of Mathematical Sociology , 27/Numbers 2-3, (2003), 89-122.

J.W. Stiller, D.C. Reel, and J.C. Johnson. "The Case for a Single Origin of Plastids Revisited: Convergent Evolution in Organellar Genome Content". Journal of Phycology 39, 95-105 (2003).

J.J. Luczkovich, S.P. Borgatti, J.C. Johnson, & M.G. Everett. "Defining and Measuring Trophic Role Similarity in Food Webs Using Regular Equivalence". The Journal of Theoretical Biology , 220 (2003), 303-321.

D. Brewer, J.C. Johnson, and S.C. Weller (eds.). Endogamy, Scaling, and Social Cognition in Social Networks, Special issue of Social Networks 24 (2002) 291-310.

J.C. Johnson and M.K. Orbach. "Perceiving the Political Landscape: Ego Biases in Cognitive Political Networks". Social Networks 24 (2002) 291-310.

J.C. Johnson, S.P. Borgatti, J.J. Luczkovich, and M.G. Everette. "Network Role Analysis in the Study of Food Webs: An Application of Regular Role Coloration. The Journal of Social Structure, Vol 2. No. 3, May 8, 2001.

J.C. Johnson and D. Parks. "Communication Roles, Perceived Effectiveness, and Satisfaction in an Environmental Management Program." Journal of Computational and Mathematical Organization Theory VOL 4(3) 223-239, 1998.

Field Research

Alaska, Pacific Coast U.S., Midwest U.S., Costa Rica, Puerto Rico, U.S. Virgin Islands, Gulf and East Coast U.S., Arctic, Antarctica, Russia, and Poland.

Co-Authors During Past 10 Years (not in publications above)

Linda Wolf, Angela Mason, T.K. Lee, A. Wiley Jr., J.A. Means, M. Ironsmith, A. Witcher, G.M. Poteat, C.W. Snow, L. Eudey, E. Schade, James Murray, Holly Matthews

Past and Current Graduate Students

Amy Witcher, Genevieve Dutton, Chris Cooper, Ann Gibson, Terry Reynolds, and Donnie Davis

Graduate Mentors and Advisors

Jerome Kirk (graduate advisor), Michael Burton (committee member), Carlos Velez (committee member)
Marc Miller (committee member)

SUMMARY PROPOSAL BUDGET YEAR 1

ORGANIZATION East Carolina University				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR Christine Avenarius				AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months		Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD	SUMR	
1.	Christine Avenarius - PI			0.00	0.00	2.00	\$ 10,489
2.	Jeffrey C Johnson - CO-PI			0.00	0.00	0.50	4,111
3.							
4.							
5.							
6.	(0) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)			0.00	0.00	0.00	0
7.	(2) TOTAL SENIOR PERSONNEL (1 - 6)			0.00	0.00	2.50	14,600
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1.	(0) POST DOCTORAL ASSOCIATES			0.00	0.00	0.00	0
2.	(0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)			0.00	0.00	0.00	0
3.	(1) GRADUATE STUDENTS						8,000
4.	(0) UNDERGRADUATE STUDENTS						0
5.	(0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0
6.	(0) OTHER						0
TOTAL SALARIES AND WAGES (A + B)							22,600
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							3,260
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							25,860
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
TOTAL EQUIPMENT							0
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)							0
2. FOREIGN							7,098
F. PARTICIPANT SUPPORT COSTS							
1.	STIPENDS \$ _____			0			
2.	TRAVEL _____			0			
3.	SUBSISTENCE _____			0			
4.	OTHER _____			0			
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS							0
G. OTHER DIRECT COSTS							
1.	MATERIALS AND SUPPLIES						4,260
2.	PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						0
3.	CONSULTANT SERVICES						5,964
4.	COMPUTER SERVICES						0
5.	SUBAWARDS						0
6.	OTHER						750
TOTAL OTHER DIRECT COSTS							10,974
H. TOTAL DIRECT COSTS (A THROUGH G)							43,932
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)							
Total Direct Costs (Rate: 26.0000, Base: 43932)							
TOTAL INDIRECT COSTS (F&A)							11,422
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							55,354
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.C.6.j.)							0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)							\$ 55,354
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$			
PI/PD NAME Christine Avenarius				FOR NSF USE ONLY			
ORG. REP. NAME* John garland				INDIRECT COST RATE VERIFICATION			
		Date Checked	Date Of Rate Sheet	Initials - ORG			

SUMMARY PROPOSAL BUDGET YEAR 2

ORGANIZATION East Carolina University				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR Christine Avenarius				AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months		Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD	SUMR	
1. Christine Avenarius - PI				0.00	0.00	2.00	\$ 10,908
2. Jeffrey C Johnson - CO-PI				0.00	0.00	0.50	4,276
3.							
4.							
5.							
6. (0) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.00	0.00	0.00	0
7. (2) TOTAL SENIOR PERSONNEL (1 - 6)				0.00	0.00	2.50	15,184
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. (0) POST DOCTORAL ASSOCIATES				0.00	0.00	0.00	0
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.00	0.00	0.00	0
3. (1) GRADUATE STUDENTS							8,320
4. (0) UNDERGRADUATE STUDENTS							0
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							0
6. (0) OTHER							0
TOTAL SALARIES AND WAGES (A + B)							23,504
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							3,390
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							26,894
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
TOTAL EQUIPMENT							0
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)							1,600
2. FOREIGN							11,686
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS \$ _____ 0							
2. TRAVEL _____ 0							
3. SUBSISTENCE _____ 0							
4. OTHER _____ 0							
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS							0
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES							1,310
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION							0
3. CONSULTANT SERVICES							5,520
4. COMPUTER SERVICES							0
5. SUBAWARDS							0
6. OTHER							972
TOTAL OTHER DIRECT COSTS							7,802
H. TOTAL DIRECT COSTS (A THROUGH G)							47,982
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)							
Total Direct Costs (Rate: 26.0000, Base: 47982)							
TOTAL INDIRECT COSTS (F&A)							12,475
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							60,457
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.C.6.j.)							0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)							\$ 60,457
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$			
PI/PD NAME Christine Avenarius				FOR NSF USE ONLY			
ORG. REP. NAME* John garland				INDIRECT COST RATE VERIFICATION			
		Date Checked	Date Of Rate Sheet	Initials - ORG			

SUMMARY PROPOSAL BUDGET Cumulative

ORGANIZATION East Carolina University				FOR NSF USE ONLY		
				PROPOSAL NO.	DURATION (months)	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR Christine Avenarius				AWARD NO.	Proposed	Granted
					NSF Funded Person-months	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				CAL	ACAD	SUMR
1. Christine Avenarius - PI				0.00	0.00	4.00
2. Jeffrey C Johnson - CO-PI				0.00	0.00	1.00
3.						
4.						
5.						
6. () OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.00	0.00	0.00
7. (2) TOTAL SENIOR PERSONNEL (1 - 6)				0.00	0.00	5.00
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. (0) POST DOCTORAL ASSOCIATES				0.00	0.00	0.00
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.00	0.00	0.00
3. (2) GRADUATE STUDENTS						16,320
4. (0) UNDERGRADUATE STUDENTS						0
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0
6. (0) OTHER						0
TOTAL SALARIES AND WAGES (A + B)						46,104
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						6,650
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						52,754
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
TOTAL EQUIPMENT						0
E. TRAVEL 1. DOMESTIC (INCL. CANADA, MEXICO AND U.S. POSSESSIONS)						1,600
2. FOREIGN						18,784
F. PARTICIPANT SUPPORT COSTS						
1. STIPENDS \$ _____				0		
2. TRAVEL _____				0		
3. SUBSISTENCE _____				0		
4. OTHER _____				0		
TOTAL NUMBER OF PARTICIPANTS (0) TOTAL PARTICIPANT COSTS						0
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						5,570
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						0
3. CONSULTANT SERVICES						11,484
4. COMPUTER SERVICES						0
5. SUBAWARDS						0
6. OTHER						1,722
TOTAL OTHER DIRECT COSTS						18,776
H. TOTAL DIRECT COSTS (A THROUGH G)						91,914
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)						
TOTAL INDIRECT COSTS (F&A)						23,897
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						115,811
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.C.6.j.)						0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						\$ 115,811 \$
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$		
PI/PD NAME Christine Avenarius				FOR NSF USE ONLY		
ORG. REP. NAME* John garland				INDIRECT COST RATE VERIFICATION		
		Date Checked	Date Of Rate Sheet	Initials - ORG		

C *ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

Budget Justification

Years 1-2

A. Senior Personnel

Christine Avenarius requests 2.0 months summer salary in each of the years @ \$5,244 per month.

Jeffrey C. Johnson requests 0.5 months summer salary in each of the years @ \$8,222 per month.

Note: There is a 4% increase in year 2 for salaries

B 2. Other Professionals

B 3. Graduate Students

Graduate monies are requested to support one graduate student (with Chinese skills) for 2 semesters per year (@ \$8,000 per year) to be involved in data management, and programming components of the project. This will be total of \$16,320 for the 2 years of the study.

B. Fringe Benefits

State Retirement: 10.49% of pro-rated salary

Social Security: 7.65% of pro-rated salary and wages up to \$72,600

D. Equipment

Laptops for data entry and transcription for each interview team: 2 (expense in China equals costs in the US due to high tax rate): @ \$ 1500 each

Total for equipment: \$3000

E. Travel

AIR TRAVEL:

Christine Avenarius

3 Flights to Beijing: summer of 2006, 2007 and winter 2008 @ \$ 1300 each trip
RDU to PEK

\$3900

Taxi fare Airport to Beijing: RMB 250 = \$ 30 one way. \$ 60 round trip: 3 years:
\$180

Jeff Johnson:

2 Flights to Beijing: summer of 2006 and 2007@ \$1300

\$2600

Taxi fare Airport to Beijing: RMB 250 = \$ 30 one way. \$ 60 round trip: 2 years:

\$120

LODGING:

Lodging Christine Avenarius

Year 1 in Beijing:

Stay in Beijing: \$ 30 a night in University housing

10 days for preparation with Zhao Xudong for rural sample

2 weeks when returning back to Beijing: to organize material and start commissioning transcription, preparation for Urban sample with Qi Xin
2 week after return from Shijiazhuang: for commissioning transcription of interviews and translation:
4 weeks and 10 days = 38 nights: x \$ 30 \$1140

2006 in Nanzhuang:
3 weeks and travel time
24 nights.

lodging and food expenses: with villagers
need to bring gifts and invite to dinner \$500

2006 in Shijiazhuang:
hotel approximately \$ 25 a night
3.5 weeks = 24 days @ \$ 25 \$600

2007 in Beijing
lodging @ \$ 30 a day (university housing)
2 weeks for preparation and training of students
2 weeks after returning from the field (from overseeing data collection in both Nanzhuang village and Shijiazhuang):
organization of
4 weeks = 28 days @ \$ 30 \$840

2007 in Nanzhuang village and Shijiazhuang
about 11 days in Shijiazhuang @ \$ 25 a day
\$275
expenses in Nanzhuang for 10 days
\$200

Lodging Jeff Johnson
2006: Stay in Beijing: \$ 30 a night in University housing
10 days for preparation with Zhao Xudong for rural sample
\$300
3 days when returning from Nanzhuang in preparation for return flight \$90

In Nanzhuang:
1 week to get an overview of the site: \$200

2007:
2 weeks in Beijing to assist in the training of students @ \$ 30 a night \$420
1 week in Shijiazhuang to oversee the random sample @ \$ 25 a night \$175
2 days in Beijing to prepare for return flight @ \$ 30 a night \$60

Lodging Zhao Xudong and Qi Xin:
no expense: part of their salary
Zhao Xudong has close friends in Nanzhuang (will take care of his own expenses)
and Qi Xin has family in Shijiazhuang

Lodging for Students in 2007:
in Nanzhuang:
3 weeks = 21 days (including travel and rest days)
approximately in gifts \$400

in Shijiazhuang
hotel \$ 25 a night for 2 students
3 weeks = 21 days (including travel and rest days)
21 days @ 2 x \$ 25 = 21 x \$ 50 \$1050

FOOD:
Christine Avenarius
2006:
38 days in Beijing:
per diem for city travel and food:
Nanzhuang: no per diem necessary: included in lump sum
Shijiazhuang
24 days per diem @ \$24/day \$672

2007:
28 days in Beijing
Nanzhuang: no calculation:
11 days in Shijiazhuang

Jeff Johnson:
2006: 13 days in Beijing @ \$28/day \$364
Nanzhuang: not necessary for calculation

2007: 16 days in Beijing
Shijiazhuang: 7 days @ \$28/day \$448

Zhao Xudong and Qi Xin
see above: no separate costs

2007 Students:
In Nanzhuang
Food expenses: preparation of meals by themselves:
\$ 5 per day and person
4 students x 21 days = 84 units x \$ 5 \$420

in Shijiazhuang
Food expenses: preparation of meals by themselves:
\$ 10 per day and person
4 students x 21 days = 84 units x \$ 10 \$840

TRANSPORTATION IN CHINA:
In Beijing part of per diem

Trip to Nanzhuang:

Train to Shijiazhuang: \$ 8 one way, \$ 16 return (soft seat)
Bus to Nanzhuang: \$ 2 one way, \$ 4 return
total cost one person to Nanzhuang: \$ 20

Total cost of trip to Shijiazhuang for one person: \$ 16

2006:

3 trips to Nanzhuang (Avenarius, Johnson, Zhao)	\$60
2 trips to Shijiazhuang (Avenarius, Qi)	\$32

2007:

6 trips to Nanzhuang (Avenarius, Zhao, 4 students)	\$120
6 trips to Shijiazhuang (Johnson, Qi, 4 students)	\$96
Trips between Nanzhuang and Shijiazhuang for Avenarius	\$30

Car and Driver in Shijiazhuang

\$ 30 a day

in 2006: 24 days @ \$ 40

\$720

for 30 days (1 interview a day?)

in 2007:

need: 2 cars for 4 students, different locations

2 x \$ 30 x 21 days = \$ 60 x 21	\$1260
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OTHER:

Conference participation (domestic flight and hotel) in Year 2

Christine Avenarius: \$ 800

Jeff Johnson: \$ 800

Total	\$1600
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Total travel for year 1	\$7098
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Total travel for year 2	\$13286
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G. Other Direct Costs

G1. Materials and Supplies

Supplies:

(batteries, CDs and memory sticks, paper, notebooks) \$ 500 per year

Chinese software (Twin Bridge) for ECU computer:

Includes monies for:

Digital Recorders 3 @ \$220 a piece (\$ 660)

Portable Scanner \$100

Total:	\$1760
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G 6. Other

Costs for copying in Beijing and Shijiazhuang for both years:	\$600
---	-------

Communications:

Internet access: via phone card: domestic calls each summer

Cell Phone with memory chips and phone time for C. Avenarius to be bought in China

Cell phone usage each summer
Cell phone usage fee for Qi Xin and Zhao Xudong (\$ 75 per person per summer)
Long distance phone card (to call United States)

Total communications for both years: \$1122

Consultants and Student Workers in China

Zhao Xudong: consultant for rural area: Nanzhuang 2006 and 2007: \$ 2000 in 2006 and \$ 1500 in second year
\$3500

Qi Xin: consultant for urban area: Shijiazhuang: 2006 and 2007: \$ 2000 in 2006 and \$ 1500 in second year
\$3500

Total: \$7,000

Hire students for transcription and translations of in-depth interviews:
Transcription of interviews from tapes in 2006: about \$ 12 per interview.
\$864

Translation of interviews: \$ 15 per interview
\$1080

8 Students in the summer of 2007 for data collection: \$ 15 per day
for rural setting: 4 students: 120 interviews, 30 interviews per person: needed: 3 weeks (= 21 days including travel and rest days)
for urban setting: 4 students: 120 interviews, 30 interviews per person: needed: 3 weeks (= 21 days)
8 Students x 21 days = 168 units
168 x \$ 15 a day
\$2520

Total consultant services \$11484

I. Indirect Costs

26% (ECU off campus rate) of total direct costs excluding F (participant costs)
A 4% inflation adjustment is made in years 2 and 3.

Note: \$ 1 = 8.2799 RMB; \$ 100 = 828 RMB

Current and Pending Support

(See GPG Section II.C.2.h for guidance on information to include on this form.)

The following information should be provided for each investigator and other senior personnel. Failure to provide this information may delay consideration of this proposal.	
Investigator: Jeffrey Johnson	Other agencies (including NSF) to which this proposal has been/will be submitted.
Support: <input checked="" type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support Project/Proposal Title: Summer Institute for Research Design in Cultural Anthropology Source of Support: NSF Total Award Amount: \$ 426,333 Total Award Period Covered: 11/01/04 - 10/31/09 Location of Project: East Carolina University Person-Months Per Year Committed to the Project. Cal:0.00 Acad: 0.00 Sumr: 2.00	
Support: <input checked="" type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support Project/Proposal Title: Developing Best Practices for Coastal Communities Experiencing High Levels of Immigration Source of Support: UNC Sea Grant/NOAA Total Award Amount: \$ 93,742 Total Award Period Covered: 03/01/04 - 02/28/06 Location of Project: North Carolina Person-Months Per Year Committed to the Project. Cal:0.00 Acad: 1.00 Sumr: 0.00	
Support: <input checked="" type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support Project/Proposal Title: Investigating Ecological Change in the Nearshore Kotzebue Sound Ecosystem: Simultaneous Application of Traditional and Scientific Ecological Knowledge Source of Support: NSF Total Award Amount: \$ 483,768 Total Award Period Covered: 04/01/02 - 03/31/05 Location of Project: Alaska Person-Months Per Year Committed to the Project. Cal:0.00 Acad: 0.00 Sumr: 1.00	
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: \$ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project. Cal: Acad: Sumr:	
Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future <input type="checkbox"/> *Transfer of Support Project/Proposal Title: Source of Support: Total Award Amount: \$ Total Award Period Covered: Location of Project: Person-Months Per Year Committed to the Project. Cal: Acad: Summ:	

*If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period.

FACILITIES, EQUIPMENT & OTHER RESOURCES

FACILITIES: Identify the facilities to be used at each performance site listed and, as appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Use "Other" to describe the facilities at any other performance sites listed and at sites for field studies. USE additional pages as necessary.

Laboratory: NA

Clinical: NA

Animal: NA

Computer: Sufficient computers are available in both the Dept. of Anthropology and the Institute for Coastal and Marine Resources at East Carolina University.

Office:

Other:

MAJOR EQUIPMENT: List the most important items available for this project and, as appropriate identifying the location and pertinent capabilities of each.

OTHER RESOURCES: Provide any information describing the other resources available for the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop, and the extent to which they will be available for the project. Include an explanation of any consortium/contractual arrangements with other organizations.

北京市社会科学院城市问题研究所

THE URBAN STUDIES INSTITUTE OF BEIJING ACADEMY OF SOCIAL SCIENCES
33 Beisihuanzhonglu, P. O. B. 9724, Beijing 100101, China. Tel: (86)1061414918294, Fax: (86)1061414141

Dr. Qixin
The Urban Studies Institute
Beijing Academy of Social Sciences
No33, BeiSiHuanZhongLu, Chaoyang District
Beijing, 100101
P.R. China

January, 26 2005

Dr. Christine Avenarius
Department of Anthropology
East Carolina University
Flanagan 213
Greenville, NC 27858-4353

Dear Christine,

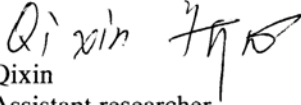
Further to our recent conversation, I would like to confirm my interest in working with you on your proposed research program "The culture of law in present-day China."

I am particularly interested in working with you on the investigation of urban residents' social network structures and attitudes about fairness. As you know, my dissertation studied social networks of residents in a particular neighborhood in Shijiazhuang. I would be pleased to assist you in the urban fieldwork portion of your planned research project based on my involvement with several research institutions in Shijiazhuang. Since I have lived and worked in this city for several years and have family there, I am sure we will be able to draw a representative sample of urban residents and conduct a fruitful data collection process.

If you need any further information on research conditions in Shijiazhuang, please do not hesitate to ask me.

Good luck with your NSF proposal.

Sincerely,


Qixin
Assistant researcher



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January, 14, 2005

Dr. Christine Avenarius
Department of Anthropology
East Carolina University
Flanagan 213
Greenville, NC 27858-4353

Dear Christine,

I will be pleased to collaborate with you on your proposed project "The culture of law in present-day China."

Specifically, I will make arrangements with the village leaders of Nanzhuang village to welcome you and your team prior to our arrival. I also hope to participate in the data collection process together with you in the beginning and as often as my schedule will allow me to return to Nanzhuang village during the months of your fieldwork. In addition, I would like us to plan for meetings at the end of each fieldwork period to discuss findings and prepare the next stage of research.

I look forward to cooperate with you starting later this summer. May our cooperation be even more fulfilling and productive than our joint fieldwork in Nanzhuang in the summer of 2004.

Sincerely,

Zhao Xudong
Lecturer

A handwritten signature in black ink, appearing to read 'Zhao Xudong'.